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ABSTRACT

This study examined the impact of a comprehensive periodic post-tenure review policy within a public research institution which was mandated to establish procedures for complying with a policy requiring periodic evaluation of tenured faculty. The post-tenure review policy was implemented in fall 1987. Two full cycles of periodic 5-year reviews were completed in 1997. Interviews were held with 21 tenured faculty, and separate focus groups were held with deans, department chairs, faculty evaluation review committee members, and union representatives. Tenured faculty and academic administrators completed surveys. There was no consensus on purposes for post-tenure review, though accountability was the most commonly cited purpose. Respondents believed the policy was ineffective. Faculty felt the review should be retained because of its potential use in professional development and reflection. Faculty were critical of the procedures and processes, while deans and chairs were more positive. Participants identified potential benefits, none of which were being reached because of administrators' inability to explore more strategic policy implementation to achieve desired results. Overall, the policy had many problems, including lack of resources to support faculty development plans. Recommendations for change included changing who performs the reviews and fortifying review outcomes. Interview questions are appended. (SM)

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Post-Tenure Review: Outcomes and Impact

Case Study: University B

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New Pathways II Project

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American Association for Higher Education

New Pathways II

Post-Tenure Review: Outcomes and Impact

Case Study: University B

Campus Visitation: Fall 1999

AAHE Study Team:
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Report Date: Spring 2000

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Executive Summary

■ University B

This case study reports on the impact of a comprehensive periodic post-tenure review policy within a public Research I institution in the Western quadrant of the United States—referred to as University B. It is the largest institution in the state university system with a student enrollment of 18,000 students and 1100 tenured faculty.

At the initiative of the Board of Regents, University B was mandated to establish procedures to comply with a broad policy that required the periodic evaluation of tenured faculty. The policy is intended to be developmental and formative. The post-tenure review policy was implemented in the fall of 1987 and two full cycles of periodic five-year reviews were completed in 1997.

■ Study Design

This study employed a mixed methods design. One-on-one interviews were held with 21 tenured faculty; separate focus groups with deans, department chairs, members of faculty evaluation review committees and representatives of the union (both faculty representatives and paid professional staff). A survey was administered to all tenured faculty and academic administrators. The data gathered through the interviews and survey yielded the following findings.

■ Findings

Note: Throughout this report, the term post-tenure review is used to refer to what University B formally refers to as "Evaluation of Tenured Faculty."

Purpose and Goals of Post-Tenure Review

Study participants identified several purposes for post-tenure review and there does not appear to be a consensus. However, the most often cited purpose was accountability. Participants pointed out differences between the ***stated*** purposes and the ***actual*** purposes. The stated purposes of post-tenure review as presented in University B documents read as follows: (1) Assure the best use of professional staff resources; (2) Recognize excellence and provide incentives for superior performance; and (3) improve performance. The interview participants for the most part indicated that these purposes were not being met. It seems that the institution's state of fiscal crisis has impacted its ability to follow through on the initial intentions of post-tenure review. As a result, the participants view post-tenure review as failing its original mission of professional development and recognition of excellence and not having enough power to fulfill its goal of pruning unproductive faculty.

When queried about what the ***desired*** purpose of post-tenure review ***should be***, the majority of survey respondents ranked accountability [assessment of performance to ensure expectations are met and remedy of deficiencies] as the major purpose. However, recognition and reward for excellence followed close behind in importance.

Policy Effectiveness

There seems to be general agreement among faculty and administrators that the policy is not effective. The policy's lack of effectiveness seems to be related to lack of leadership among academic administrators—especially in providing substantive follow through; lack of resources; and possibly the decision-making processes of a unionized campus. With regard to leadership, participants pointed out that individuals whose post-tenure review is judged satisfactory (the great majority) rarely ever receive any feedback from their chairs or deans. Members of the Faculty Evaluation Review Committees also complained about the lack of feedback. We were not made aware of any innovative approaches being used to implement post-tenure review at the departmental or school levels. The absence of leadership in the implementation of post-tenure review may be related to the chairs' being considered faculty by the collective bargaining agreement thus constraining their formal authority. Deans complained that their involvement in the post-tenure process is fairly limited.

Tangible Results and Outcomes

Other than the intrinsic results (e.g., the act of putting one's dossier together provides an opportunity to reflect on accomplishments and future directions) mentioned by a small number of faculty, the interviews and survey data did not reveal any tangible results that could be associated with the post-tenure review policy. The survey results indicate that administrators are more likely to view post-tenure review as beneficial than faculty but this difference was not evident in the interview data. Union leaders assert that the policy has been effective in encouraging non-performers to leave, and also to reallocate workloads based on proficiencies. It should be noted that the union leaders, for the most part, were the only ones who believe the policy was effective in this way.

Worth the Time and Effort?

Surprisingly, despite the numerous complaints about the system faculty felt that post-tenure review should be retained primarily because it has the potential to be a useful tool for professional development and personal reflection. The majority of union officials did not want to get rid of it, nor did faculty who have served on Faculty Review Evaluation Committees. Deans and chairs were much more skeptical and seemed more inclined to say that post-tenure review as currently practiced is not worth the effort.

Procedures and Processes

Opinions about the procedures and processes were mixed. The faculty participants interviewed were critical of the procedures and processes while the deans and chairs were more positive. A major complaint about the processes had to do with the evaluation of teaching. The process was seen as being more focused on research than on determining the effectiveness of teaching. Another weakness in the procedures and processes is that the evaluation is completely disconnected from the University's strategic plan. Many of the complaints about procedures and processes appeared to be related to poor campus wide communication and an absence of "community." Dissatisfaction with the lack of feedback/follow-through and the absence of a range of outcomes was widespread.

Perceived Benefits

Participants identified potential benefits, none of which are being reached, in large part, because it seems that chairs, deans, and the administration have not been able to explore a more strategic implementation of the policy to achieve more desirable results, e.g., connecting post-tenure review to departmental, college, or university initiatives; learning more about the work of individual faculty and using that knowledge to foster more collaborative work, identifying undiscovered synergies among people, identifying areas for professional development, etc.

The only on-going benefit that faculty associated with the post-tenure review policy was that it provides a structured opportunity to reflect on their work. Another benefit that occurred 'early on' was that when it was first implemented it encouraged a not insignificant number of early retirements. The chairs recognized that the process has potential benefits for the department such as facilitating the assignment of workloads and as a source of information to assess departmental effectiveness. However, other than acknowledging that post-tenure review could be useful at the departmental level there was no evidence that this was, in fact, taking place.

Perceived Problems

The post-tenure review policy appears to be plagued with problems. The interviews with faculty, chairs, deans, union leaders, and administration surfaced numerous problems reflecting concerns with the process, resources, procedures, and outcomes as well as the impact on relationships among colleagues. The survey revealed three major problems. Two of these had to do with the lack of resources to support faculty development plans, whether the plan is initiated by the faculty member or it is required as a result of a negative post-tenure review. The third major problem is that post-tenure review is not viewed as having a positive effect on the performance of individuals over the long run.

Recommendations by Faculty and Administrators

There were many recommendations for change. Two strong themes emerged throughout the interviews, focus groups and surveys: (1) changing who performs the reviews and (2) fortifying review outcomes in terms of available rewards, development opportunities, improvement requirements and allowable sanctions. An additional theme emerged in the interview/focus group conversations: limiting tenure after a certain age. With regards to the tenure system, some faculty suggested a tenure system that is limited in time. Once a faculty member reaches a certain age he/she could be placed on a 3-5 year renewable contract, the idea being that one must compete for one's own job. Several faculty members also felt that the person or group who performs the review should be changed. But they did not agree upon who that person or group should be. When probed specifically about this in the survey, there was overwhelming agreement that the department chair, department colleagues and dean/director should play a role in the review.

Other suggestions for improvement clustered generally in the areas of strengthening outcomes, modifying procedural aspects and enhancing the evaluation climate. They include: (1) making the process more uniform across campus; (2) provide rewards, merit pay, and other forms of incentives to faculty who are meeting expectations and demonstrate high productivity; (3) make the process more collegial; (4) place emphasis on developmental aspects rather than on identifying deficits; (5) link post-tenure review expectations to departmental planning or goals; (5) make the process simpler; (6) train the chairs on how to conduct the evaluation.

Recommendations by Project Team

1. The review process would be strengthened by the administration clarifying and making public how post-tenure review is implemented across the campus. Procedurally, the review process should be consistent across departments while the specific expectations may vary widely between departments and disciplines. It would be beneficial for the general understanding of the policy as well as for the campus community for those faculty in the English department, for example, to know how those in the math department are being reviewed.

2. The administration should make the self-report on post-tenure review widely known and shared. They should also publicize how the policy has changed and evolved over the years and why. It is clear that the faculty feel that they have been left out of the conversation on post-tenure review and that it is something that has been imposed upon them. In the interest of shared governance, bringing the faculty in on the conversation and sharing this information with them would be a great improvement. This conversation should explore the role of faculty performance evaluation, what purpose the evaluation plays for post-tenure faculty and "call the question" of how to revamp the entire process in order to achieve desired ends.

3. The faculty of University B wants to create a more collegial post-tenure review process, which involves more than the chair of the department. This can be achieved in many different ways, and the faculty should be invited to help create these changes. Greater involvement and expanded membership on Faculty Evaluation Review Committees may be a starting point. Or, the administration might ask the Academic Senate to evaluate the post-tenure review policy and suggest ways to make it a more collegial process. Strong support for expanding the role of peers was expressed. Further, faculty expressed the opinion that their department would be willing to develop criteria for measuring excellence so that a reward component might be actualized. Many suggestions were offered with respect to what evidence should be expected at the time of the review, what types of 'appropriate action' might be taken when excellence as well as deficiencies are revealed and what is necessary in order to give 'meaning' to the review.

4. One section of the review should include a future orientation in which the faculty member can set goals and plan for the next five years. A narrative self-evaluation component should also be included to complement the list of achievements. How does the faculty member feel about his/her accomplishments and how will he/she spend the next five years of his/her professional life?

5. Opportunities for recognition and rewards must be built into the review. This would serve to motivate the faculty to a greater degree because there are potential benefits involved. This would also help to make post-tenure review focus both on strengths and improvements.

6. The administration and/or deans and directors must find resources to commit to faculty development and rewards associated with the post-tenure review. This is especially critical in a time of fiscal stress when there are no merit awards unless the university wishes to retain a faculty member who has a written offer for employment from another institution. These funds would also lend credibility and integrity to the review process. The university will essentially put its money where its mouth is and deliver on the original intents and promises of the policy.

7. Department chairs, deans, and faculty review committees need to be trained on how to conduct the performance reviews. The roles and responsibilities of each group should be clearly delineated. Departments and or schools that are doing this well should be asked to participate in the training.

8. Post-tenure review could be used as a vehicle to create a cohesive campus community with a shared mission and vision. By strengthening the meaning of the post-tenure review process, applying it consistently across departments, and inviting all faculty to be a part of improving the process, the policy could become a great asset.

American Association for Higher Education
New Pathways II

A National Study of Post-Tenure Review:
Outcomes and Impact
1999 - 2000
A Case Study: University B

Introduction[1]

Systematic and comprehensive evaluation of tenured faculty, commonly referred to as post-tenure review, is growing in popularity within institutions of higher learning. Recent data suggest that, in over 30 states, some or all-public four-year institutions have already instituted such evaluation policies or are in the process of doing so. Pressures to develop these review policies are frequently brought to bear by legislatures, governing boards, and citizen-regents (Miller, Licata, and Kavānagh, 1999).

Even though most institutions have had longstanding policies to assess faculty performance for purposes of salary, merit, promotion, grants, sabbaticals and the like, post-tenure review as we know it today goes well beyond these traditional review methods. In today's climate, post-tenure review usually refers to an array of practices by which institutions encourage high levels of professional performance and development. Normally, post-tenure review is a process, which is separate from an annual review, an outcome of an annual review, or a more comprehensive type of annual review. While state systems of higher education in California and Oregon adopted post-tenure review in the mid to late 70's, most other policies are less than seven years old.

Policies today can be separated into three basic categories: (1) comprehensive, periodic review of all tenured faculty, usually conducted at five- to seven-year intervals; (2) selective review of only faculty whose performance is below standard as judged on the annual review; or (3) systematic annual review which includes significant prospective professional development planning. In this later case, the annual merit review process is expanded beyond administrative assessment and includes significant peer review, long-term professional-development goals, and provision for appropriate action, if performance is below standard.
Underlying these three approaches are differing evaluation objectives. One objective is *summative* in nature, in which actual consequences from the review are made explicit and can include preparation of a long-term professional-development plan, reward and recognition measures, and formulation of an improvement plan when deficiencies are noted. The other focus is *formative*, which seeks development and growth and rarely results in personnel action.

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[1]Unless otherwise noted, information in this section is based largely on research conducted by Christine M. Licata and Joseph C. Morreale as reported in: "Post-Tenure Review: Policies, Practices and Precautions" (Washington, D.C., AAHE Working Paper 12, 1997) and Licata, Christine M., in "Post-Tenure Review—At the Crossroads of Accountability and Opportunity" (AAHE Bulletin 58:10, pages 3–6).

Regardless of the model and focus, all processes usually build on the annual review and almost all new policies emphasize faculty development as one of the goals. Additional policy objectives are then layered on, depending on institutional mission, culture, and pre-existing evaluation practices.

There continues to be considerable debate in the field about the intended purpose and necessity of post-tenure review. Those outside the academy tend to see the post-tenure review process more in summative terms—as a means to make the academy more accountable, adaptable, and responsive to change. Internal stakeholders often view it as a powerful means to strengthen performance and continue professional development. An underlying fear often expressed by faculty is that such reviews will be used capriciously by administration to get rid of outspoken or nonconforming faculty. Faculty groups who see value in developmental peer review also remain suspicious about the effect of consequential reviews on tenure policy and tradition. The American Association of University Professors (AAUP), in its statement on post-tenure review, suggests that performance review can be improved and supports developmental reviews intended for faculty growth. The association contends, however, that normal collegiate review processes and policy provisions already in place can handle the infrequent situations of under-performance or nonperformance and that additional disciplinary monitoring is redundant. AAUP argues that summative reviews are particularly objectionable because they substitute 'managerial' accountability for professional responsibility. As a result, AAUP cautions that such reviews will alter and diminish due process protections inherent in academic freedom, leaving the door open to the easing of prevailing standards for dismissal—moving that standard from incompetence to unsatisfactory performance (AAUP, 1998).

Despite the fact that post-tenure review policies are now in place within institutions in over 30 states, there has been no systematic reporting of outcomes. Advocates and critics alike base their positions largely on philosophical arguments and anecdotal illustrations. Given the intense national interest in this topic, the increasing movement toward greater accountability, and the need to maintain the vitality of senior faculty, careful follow-up tracking is necessary to understand the impact this review process is having within institutions and on individual faculty members. Because the majority of post-tenure review policies have been recently established, empirically based answers are critically important.

AAHE Post-Tenure Review Outcomes Study

The American Association for Higher Education New Pathways II project has undertaken a two-year initiative to gather outcomes data within institutions that have had considerable experience with post-tenure review practices.

The intent of the AAHE study is to answer the following essential questions:

1. Is post-tenure review working to achieve the institution's stated objectives?

2. What impact does post-tenure review have on the professional contributions and careers of faculty?

3. Does post-tenure review help advance departmental goals and institutional mission?

This is one of the nine institutional case studies that seek to gather data to help better inform these issues and more accurately answer these questions.

Furthermore, this particular case study and the other eight which comprise the study are uniquely important because:

1. They serve as the basis for the *first* national study to answer key questions about the impact and outcome of post-tenure review on individuals, departments, and the institution in general.

2. This is the *only* national study, to date, that asks faculty, department chairs, and deans to bring their individual experiences and perspectives to bear on these issues.

At the conclusion of the nine case studies, a national report will be generated that describes the salient findings across the various institutional settings, including common themes and recommendations for policy and practice.

A. Institutional Context

University B is a Research I university in the western region of the United States. It is the flagship campus of a 10-campus state system. As the oldest campus within the state system, it has evolved over the past 90 years from a land grant college of agriculture and mechanic arts to one of the top 50 public universities in the nation for quality. University B has an enrollment of about 18,000 students and offers undergraduate degrees in 89 different fields, master's degrees in 87 fields and the doctorate in 55 areas of study.

The evolution of University B is on going, and its current strategic plan outlines nine profile objectives to be attained by the campus's centennial year—2007. Among others, these include an increase in enrollment to 20,000 students and membership among the top 50 public universities in extramural training and research funding.

With respect to human resources, the strategic plan indicates that the campus will acquire and continually develop human resources by:

- "attracting and retaining quality faculty and staff"
- "providing appropriate supportive services, including evaluations, incentives and in-service training"
- "developing and revising human resource policies and practices to ensure continuous improvement of programs and services" (Strategic Plan, 1998, p. 15)

The fiscal climate at University B has been strained. A weak local economy, competition for state funds and a decrease in student enrollment have constrained state support in the near term. A recent accreditation report called the university's financial situation "serious and immediate." The state's general funds for the university fell from a high of 352 million in 1994–1995 to 260 million in 1998–1999. During this same time period, enrollment at University B has dropped 18 percent.

The 10-campus university system is governed by a single Board of Regents, all of whom hold four-year appointments made by the Governor.

There is a collective bargaining unit that negotiates conditions of employment. This unit is an NEA affiliate, has been in existence for 26 years, and is frequently referred to as a strong union.

Faculty Roles and Responsibilities

The university has 2,000 faculty, of which approximately 1,100 (54 percent) are tenured. The Academic Affairs division is comprised of 8 colleges, 10 professional schools, 4 specialized units, a library, a counseling center and academic support offices.

Tenured faculty fall into several different classifications: county extension agents, librarians, instructional, research and specialists. All faculty on a tenure track, however, are required to meet university criteria for tenure and promotion. According to the union agreement, tenure

resides in a given college, school, organized research or service unit. Board approved criteria and guidelines for tenure and promotion include duties, responsibilities and minimum qualifications. These guidelines indicate that a high level of competency in one's primary area must be demonstrated as well as scholarly achievement and service contributions.

The strategic plan (1998) provides additional guidance, particularly with respect to aspirations for research:

> *"Research is the hallmark of [University B]. It will continue to dominate campus academics. Special attention will focus on preserving preeminent areas and on developing priority programs to internationally recognized levels of excellence" (p. 12).*

In carrying out this objective the plan makes clear that "all faculty in academic programs [are expected] to maintain independent research projects and to contribute to the dissemination of knowledge through publishing, presentations and other creative endeavors" (p. 12).

Evaluation Procedures

The Collective Bargaining Agreement (Article XII) stipulates "probationary faculty are recommended for reappointment by the department chair on an annual basis. This recommendation for appointment renewal requires that the faculty member's performance has been assessed, is based on strengths and weaknesses, and judged as satisfactory; that there is a continuing need for the faculty member's services at the university and that the faculty member has made the professional improvement or has demonstrated the professional and personal qualities needed by the department, or similar considerations."

Tenured faculty, on the other hand, are not required to be assessed on an annual basis. Instead the contract allows that faculty will be evaluated periodically in accordance with Section 9-15 (Reference Section 2) of the Board of Regents policies.

This Board policy provides the following guidance for evaluation of tenured faculty (post-tenure review):

a. *Board of Regents' appointees will be evaluated periodically in accordance with the guidelines below and the specific procedures developed by the appropriate administrative offices to implement this policy. These performance evaluations shall be conducted in order:*

   1. *To provide assurance to the University and its constituents that professional staff resources and particular areas of expertise are being used to the best advantage.*

   2. *To provide for the systematic recognition of excellence and develop incentives for superior performance; and*

   3. *To provide means for the improvement of performance in furtherance of the University's mission.*

b. *In recognition of the special role of the faculty in the academic mission of the University, procedures for periodic review of faculty performance must provide safeguards for academic freedom and shall provide the opportunity for participation of faculty peers in the review process. Accordingly, each Chancellor, in consultation with appropriate faculty governance organizations, shall develop procedures for such review which incorporate these principles. The procedure shall include a requirement for evaluation of every faculty member at least once every five years, and may provide for exempting faculty who have undergone a review for reappointment, tenure, or promotion, or who have received a merit salary increase during this period. Faculty review procedures shall be submitted by the Chancellor for approval by the President.*

Post-Tenure Review Policy

Background: From Board Policy to Campus Implementation

The Board of Regents established this policy in 1981. However, because the union considered evaluation as a negotiable item (i.e., evaluation outcomes could have an impact on working conditions), the union filed a complaint against the Board policy with the state's employment relation's board. This resulted in a long battle through the courts. In 1986, the issue was resolved with the state's supreme court issuing a mixed ruling. The court affirmed that the Board of Regents had the unilateral right to establish an evaluation system, but if the implementation of the system had an effect on wages, hours, or conditions of employment, negotiation with the union was required. Following this legal decision, the university began to work collaboratively with a joint committee of faculty, chairs, deans and the union to develop the procedures for policy implementation. These negotiations took the better part of a year. During that time, fear and suspicion about the 'real' purpose of the policy, the impact it would have on tenure and academic freedom and the strain on resources were discussed.

Procedures were finalized, and the first reviews occurred in 1987–1988. One-fifth of the faculty were scheduled for review. A number were deferred or exempted per policy provisions.

Distinguishing Features of University B's Policy Guidelines and Procedures

- **Policy Name**

The policy is formally called: **Evaluation of Tenured Faculty**—not post-tenure review. This was intentional and selected to convey the notion that the process would not lead to retenuring or detenuring.

- **Policy Preamble**

A preamble to procedures was drafted by the university committee to address the specific fears and hopes of the community about the process. The preamble establishes four key policy expectations:

- Continuous professional improvement as the goal
- Presumption of competence—therefore, no returning as outcome
- Department-specific minimum performance expectations which respect individual's field
- Commitment of institutional resources to assist in faculty development as a necessary support

- **Review Objectives**

- Assure the best use of professional staff resources
- Recognize excellence and provide incentives for superior performance and
- Improve performance

- **Review Focus**

The review is intended to be formative in nature, focusing upon improvement of faculty performance. The areas reviewed include teaching, research and service to the university.

- **Procedures**

- Every faculty member is required to go through a post-tenure review every five years unless he/she has "... undergone a review for reappointment, tenure, or promotion, or who have received a merit salary increase during the five year period." (It is noted that no one has received merit salary increases since 1986 but that the language is kept in the policy should this ever be initiated again.) A faculty member is also exempt if he/she files a written statement that he/she will retire within the next two years.

- Each department establishes the expectations for the review through a "***collegial process***". the department faculty must then agree upon these criteria. Each fall, the Deans forward the departmental criteria to the academic affairs leadership.

- The chair of the department conducts all faculty reviews [chair is part of bargaining unit and therefore considered a peer]. When the chair is up for review, the chairperson of the Department Personnel Committee performs the review.

- Review based on an academic profile prepared by faculty member. This contains:

  - up-to-date CV or similar profile, which addresses the established departmental criteria which include teaching, researching, service, and other professional activities.

  - the faculty has three months to submit the profile, and the chair has two months to conclude the review.

- Result is a judgment by chairperson that faculty member either:

  - meets reasonable expectations (no deficiencies)
  - does not meet reasonable expectations (deficiencies identified)

- If the faculty member is found to be satisfactory, the chair informs both the professor and the Dean, typically in the form of a letter. Only rarely are meetings held with the faculty member under review, and the faculty member rarely receives constructive feedback regarding areas of improvement if he/she is reviewed satisfactorily.

- A Professional Development Plan (PDP) is developed in cases where deficiencies are noted. If there are deficiencies found, the chair communicates these in writing to the faculty member. If the professor agrees with the findings, he/she must sign the statement and create a professional development plan. "...A faculty member who does not meet reasonable expectations as determined by the department, must develop a plan for meeting departmental expectations that is acceptable to the department chair and Dean." If resources are required in the completion of a plan, the Dean/Director must agree on it.

- PDP is mutually agreed upon among faculty member, department chair, and dean.

- PDP must include:

  - identification of deficiencies
  - objectives to address deficiencies
  - specific activities to implement plan
  - timelines (with a maximum of 4 years for completion)
  - process for annual progress review
  - source of funding, if required and alternatives should resources not be available

- Faculty member may consult with University B Faculty Development Committee for advice in drafting plan.[2]

[2]This committee has been inactive for last few years.

- There are procedures in place for cases in which there is:(1) disagreement on the deficiencies found and/or (2) disagreement over what the development plan should contain.

  - Disagreement over 'finding' of deficiencies

    - Faculty member can appeal to chair and dean. When not resolved, a Faculty Evaluation Review Committee (five-member committee) will decide whether or not it concurs with assessments of chair and dean. Committee renders its final and binding decision to the Senior Vice President. [The committee members interviewed for this study served on several different committees and reviewed a total of 8-10 appealed cases. The content of the appeals included faculty who they felt were trying to manipulate the system, a chair who was trying to impose new expectations, a faculty member refusing to participate in the review, deficient research contributions, personality conflicts, communication problems, and a faculty member who refused to accept the university's right to review his work.]

  - Disagreement over specifics in development plan

    - Faculty member can appeal to dean and vice president.

- Dean, in consultation with chair, monitors PDP

Review Results: 1987–1999

University B has completed two full cycles of periodic five-year review. Results, as tracked by the Senior Vice President's office, reveal that approximately 93 percent of faculty was judged to be performing satisfactorily. These results are displayed in the chart that follows.

Post-Tenure Review 1987–1999		
Number of faculty reviewed	1,464	
Number positively reviewed	1,368	(93%)
Number found to have deficiencies	96	(7%)
• Started PDP Completed as of June 30, 1999 (42)[3,4]	52	(54%)
• Retired	28	(29%)
• Disputed and later found to have no deficiencies	13	(14%)
• Other (Job reclassified, deceased, PDP put on hold for reassessment)	3	(4%)

Other:

[3]Mean time for completion of PDP is approximately 4 1/3 years.

Of 10 remaining PDP's: those started after: 1/1/96 = 6
those started before: 1/1/96 = 4

[4]Most frequently cited area of deficiency:

- Research alone 52%
- Research in combination with other areas 80%

B. Design and Methodology

This present case study collected descriptive data and individual perspectives about what people experience and think about post-tenure review. Quantitative and qualitative data-collection methodologies were used in an effort to be as inclusive of differing perspectives as possible and as a cross-check on themes that developed in each venue. The specific design for the case study consisted of the following components:

- A highly skilled, experienced, and objective project team from AAHE:
  - Collected background information from the institution (mission statements, relevant faculty-review policies, strategic plan).
  - Collected outcomes data on completed reviews (as available).
- Through a four-day campus site visit, the project team:
  - Conducted on-site interviews with key members of the administration and faculty (focus groups and one-on-one sessions).
- Following the site visit, the team:
  - Administered surveys to faculty who have undergone post-tenure review and to academic administrators involved in reviewing tenured faculty.

An institutional liaison helped facilitate logistics and data collection but had no direct role in formulating case-study results.

Interviews and Focus Groups

Tenured faculty were asked to participate in the study by volunteering for one-on-one interviews. Deans, department chairs, members of Faculty Evaluation Review Committees, faculty union board members and union professional staff were asked to participate in focus groups. An interview with a senior academic officer was also a part of the data-collection design. Individuals were randomly selected to participate in the interviews and focus groups. An inquiry protocol was developed and used consistently within each interview setting. The numbers of interviews and focus groups depended on the number in the available population. Every attempt was made to ensure varied perspectives through selection, based on gender, age, race, and disciplinary affiliation.

One-on-one interviews and focus groups were audio taped and transcripts were produced. Transcripts were identified by number rather than name to protect confidentiality. A release form was obtained from each interviewee. A copy of interview protocol is found in Appendix A.

Survey

A survey was developed, reviewed by an eight-member panel of experts, and then field-tested within the higher education community. Extensive revisions occurred at each stage of review.

Following the site visit, the survey was administered to all tenured faculty and academic administrators accompanied by a pre-paid envelope to be returned directly to the AAHE national office. The survey required no self-identification, and the respondents were advised that results would be reported in an aggregate format.

The survey included items seeking individual opinions and experience regarding post-tenure review processes, outcomes, impact, and benefit. It also provided opportunities for open-ended comments and suggestions for improvement. A copy of the survey is found in Appendix B.

Analysis

Data from one-on-one interviews with faculty; focus groups with department chairs, deans, and peer reviewers; and surveys from faculty and administrators were analyzed. In the case of the interviews and focus groups, appropriate qualitative techniques (coding, identifying emerging themes and ideas based on language and quotes, collecting additional data, constructing topologies, and developing concepts and theoretical propositions) and quantitative methods (frequency distributions, measures of central tendency, cross tabs, and tests of statistical significance) were used.

Limitations

A call to participate in interviews was sent out to all tenured faculty. Interviewees were randomly selected within the design expectation that an attempt be made to match the pool of interviewees to the gender and organizational composition of the Academic Affairs Division of University B. This was achieved.

In any study that uses volunteers, it is difficult to know what motivates people to come forward to participate. In this particular circumstance, it might be that individuals that carry a particularly positive or negative experience about post-tenure review were inspired to participate. One always hopes for diverse perspectives, but this cannot be assured in a study of this nature.

Both qualitative and quantitative techniques were used to help provide a more complete picture and to help compensate for the limitations inherent in each approach. The interviews offer an "insider's" view of experiences and meanings but may not be representative of all faculty at the university. The survey results also offer an insider's view but provide data and observable indicators in addition to perspectives and experiences. Again, the survey respondents may not be representative of all faculty, although this limitation is blunted somewhat by the fact that all faculty and administrators were surveyed.

C. Results

Interviews and Focus Groups

▪ Subjects Involved

One-on-one interviews were conducted with 21 tenured faculty members. Included in this group were faculty from six of the eight colleges, five of the professional schools and three of the special research/academic support units. All had experienced at least one review cycle and many had gone through at least two. Two of the faculty interviewed had previously served as chairs of departments for significant periods of time and had conducted many post-tenure reviews in that capacity. Both have since been reviewed in this process as faculty. Of those faculty interviewed three had been found deficient during their post-tenure review. One of these had the decision repealed while the other two were placed on professional development plans.

The Union Board and Executive Director were interviewed as a group as were members of various Faculty Evaluation Review Committees. A representative from the Senior Vice President's office with extensive knowledge about the policy was interviewed individually. A focus group made up of nine deans and directors was conducted. Two focus groups involving a total of 18 department chairs were also conducted. In the case of these focus groups, directors and deans represented a majority of the academic colleges and schools that comprise the university.

▪ Purpose and Goals of Post-Tenure Review

Faculty

About half of the faculty interviewed reported that post-tenure review was a tool for accountability. They explained that post-tenure review was a review of faculty performance and activity to ensure that all are performing at acceptable levels. This review served the need for accountability both internally in University B as well as externally to University B's outside constituencies.

One interviewee explained what originally brought about the need for external accountability.

> *"A regent alleges to have been driving on a work day through some neighborhood in our city, and saw a faculty member, whom he knew... watering... well see it changes, it's mythology already...mowing, watering, feeding, carrying sod on his back (laughter)... so this...and then devoted about, you know, half a regent's meeting to railing against the faculty." Apparently this attack on faculty productivity brought about the idea of implementing post-tenure review.*
>
> *"That's the reason we've got it, is somebody says we've got to be accountable, so here's the paperwork, we're accountable."*

Another interviewee commented

> *"It should be an effective review of tenured faculty to make sure that they still meet the requirements that a university and state would hope to see in senior faculty."*

Post-tenure review serves a "policing function" for the chair in this sense, ensuring that all faculty are carrying their part of the teaching and research load. There is also the hope that post-tenure review will help faculty to monitor their own workloads. One faculty member stated,

> *"I was hoping that post-tenure review would have a salutatory effect of saying to members in departments, if you're not carrying your load at the graduate level, then perhaps you should re-think the amount of undergraduate teaching you're doing."*

Many also referred to getting rid of *"deadwood faculty"* and forcing early retirements as a major goal of post-tenure review:

> *"In theory the goal is to bring faculty members who have a low productivity up to a higher productivity. At the time it went into effect, everybody viewed it as a Board of Regents policy to prune the deadwood."*

A few faculty referred to post-tenure review as a motivational tool to keep faculty working, to keep them current, to encourage change, to avoid career stasis and to continue productivity.

"Well, I view it as two-fold, one for accountability to make sure that professors, once they have tenure or promotion are...continue to be professionally active. And secondly I think it too serves as a way to motivate faculty to keep active. Knowing that a post-tenure review is going to be imminent, or coming up in five years, you continue to be active."

One faculty member claimed the goal was to *"continue the 'zest' of pre-tenure faculty"* among those who had already obtained tenure.

It became clear throughout the interviews that many faculty noted more than one purpose and described there was a difference between what they felt the goals and purposes of post-tenure review were in current practice and what they felt that the goals should be. The faculty cited many problems that they felt undermined the intended purposes of post-tenure review, which were initially conceived to be developmental.

Union Board and Executive Director

The union members interviewed felt that post-tenure review spawned from *"mixed and mean-spirited roots originally."* They said that the Regents were out to get the faculty whom they referred to as *"shiftless bums."* The union members allege that the Regents had a hit list.

However, while the initial reaction to post-tenure review was fraught with skepticism and worry, the union does not feel that this is how post-tenure review was implemented. It has been used to move people out of the system who are not performing and to help other faculty get *"back on track."*

Faculty Evaluation Review Committee

Members of Faculty Evaluation Review Committees experienced some confusion around what the purpose and goals of post-tenure review are. Most of those interviewed in the group felt that the purpose of the review was to keep faculty productive and to help people get *"back on track."* They felt post-tenure review should also be used as a vehicle for change in extreme cases. However, there was also a strong sentiment that the review did not help resolve egregious cases.

"It is not clear how one goes about making people contribute. People have tenure and there is absolutely nothing you can do. They can't teach their way out of a wet paper bag. They are not doing credible research and they are not even spending time at the university in order to be confronted about it."

Chairs

The department chairs interviewed stated that the purposes and goals of post-tenure review were to strengthen the faculty, improve faculty performance, and to weed out non-performing faculty members. They also focused upon the fact that they felt that the current goals and purposes were not producing the desired effects.

Deans and Directors

The deans and directors also referred to the goal of getting rid of non-performers as one of the primary goals of post-tenure review. They reported that the initial round of post-tenure review really "woke up" some of the non-performing faculty. After the initial round, however, they felt overwhelmingly that post-tenure review was no longer able to get rid of low performing faculty. One member of the focus group said,

> *"It works to motivate faculty a bit to look at what they're doing. At this point if the goal is to remove problem faculty, it doesn't work for that.... So, if the goal is to be protected with tenure, it is. If the goal is to be focused on attempting to provide someone with a developmental plan, it does that. If the goal is to rid the system of non-performers, it fails miserably."*

Again, the deans and directors do not seem to be settled upon what the goals of the review are and the comment above reflects that there are differing opinions among the groups interviewed.

Office of Senior Vice President

When discussing the purposes of the policy, the perspective expressed was the policy had three mutually supportive purposes: to assure that faculty responsibilities are adequately met, to provide a means for improvement (when needed) and to reward and recognize superior performance. In the case of the later two, this individual commented that the improvement aspect and meaningful reward component had been lacking for quite sometime as had enthusiasm for the process as a whole.

> *"We've lost the improvement aspect of the policy. You either get a gold star or not. If you don't get a gold star, it is like pulling teeth from that point on.... Part of the great cynicism around here is it kind of doesn't matter if you are at the very top or virtually at the very bottom—everybody's salary just goes along very much by seniority."*

- **What the Goals and Purposes of Post-Tenure Review *Should* Be**

Faculty

As mentioned above, the faculty interviewed delineated the difference between what they felt the goals of post-tenure review were versus what they felt the goals should be. There seemed to be an overarching theme throughout the interviewees' comments, which indicated that post-tenure review did not fulfill its original promises of faculty development, reward for excellence and, instead, had become a tool for faculty punishment. Many faculty saw the review as a punitive tool from the beginning.

> *"I mean, it was seen by the faculty, and I think quite rightly, as something that the Regents intended as a punitive activity, it was to get all those guys who were out there watering their lawns."*

But, initially the faculty and the union had been consulted and asked to participate in the development of post-tenure review.

> *"We had advised that it really be organized around faculty development. That the idea was, this is going to happen anyway, why not try to make a fruit salad out of, you know, an apple and an orange, and a turnip, and do what you could. So we lobbied to the central administration to have our budgets augmented by a small amount to provide faculty development funds, and that happened in the first couple of years. But it was also a time when the budget climate was beginning to turn into years of prosperity, that became more manifest in 87, 88, and 89."*

The focus of post-tenure review, from the faculty perspective, was supposed to be formative rather than summative, concentrating on the positive by highlighting faculty development.

> *"It just seems like the purpose of it wasn't really carried through how it was originally intended, as a positive thing. It is more in a negative kind of light."*

One interviewee explained that there were also going to be merit rewards included in the process.

> *"I should say also that when...as a member of the union board of directors, when post-tenure review came up, it was conceived of as a system in which corrections would be made in people's academic performance, and in which rewards would be offered. The idea was that there would be merit pay increases and this sort of thing. The merit has never occurred, to my knowledge, in all the years that we've...the ten years I guess we've had it, and that, to me, is a real downside of the overall situation."*

It seems that the fact that this institution is in a state of fiscal crisis has impacted its ability to follow through on the initial intentions of post-tenure review. According to those interviewed, the institution has no money to reward those who have done excellent work or to support those who need to engage in professional development. As a result, the faculty view post-tenure review as failing its original mission of professional development and not having enough power to fulfill its goal of pruning unproductive faculty.

In the end a considerable number of faculty felt that the review was being used by the administration to control the faculty and that its implementation has fallen short and has not been taken seriously. They feel it has been misused by the administration to terminate faculty.

Union Board and Executive Director

Some union board members expressed frustration with respect to what they considered a reasonably good policy, which had fallen short of full implementation. One union representative stated that there was a need to *"...go back to some of the original intent... The original concept was good... but I think once people don't see it as a functioning process, then it is basically brought into contempt."*

A few, however, were not as ready to change anything about current policy or practice. These individuals believe the policy "isn't broken" and that "it is working because we have enforced the process ourselves."

Faculty Evaluation Review Committee

As mentioned above, some of the representatives of these committees felt that the post-tenure review process should be an opportunity to deal with extreme cases of non-performing faculty members. However, they felt that this goal was not being accomplished under the current system. They felt that the process was neither discouraging for those who do not perform nor was it encouraging for those who do perform well. The fact that there are no resources available for professional development or for tangible incentives for those who are successful seems to undermine what the committee understood to be the purpose of this review. One member of the committee referred to the process as, "*... a system of benign comfort—no merit and no annual review.*"

Chairs

Like the faculty, the chairs felt that the post-tenure review process had strayed from its original intentions and promises.

> *"I think that ideally the post-tenure review process should operate as a mechanism to improve faculty performance, for those who need that mechanism, because, you know, most of the faculty don't need that mechanism. But, I think in reality what may be happening is that instead of improving faculty performance-- and I think it does so to a certain extent—but what it's also doing is that it's weeding out faculty members who have stopped working in any one area, and who are close to retirement. So, that instead of coming up for post-tenure review, they opt for retirement, and that's a mechanism for weeding out that kind of faculty."*

Like the faculty, the chairs did not believe that the current purposes and goals, which seemed to be in practice were the same purposes and goals originally set forth for the post-tenure review process. For example, they reported that the financial means were not available to support faculty development plans, one of the original intentions of the review, and that the entire process had been weakened.

> *"I'm quite in agreement that it [post-tenure review] was completely emasculated in terms of its grand plan, so the way in which we have been using it is to look at where faculty members are and to be able to discuss with them in kind of a non-threatening way, you know, where they are in relation to other faculty members who are their peers."*

One chair felt that the review should focus on positive outcomes rather than negative ones.

> *"What I'm saying is that there are negative goals that seem to be operative here rather than positive goals. You know, there are positive goals and I think that one of the goals that I...that has stayed is that this post-tenure review is supposed to reward faculty performance, and I haven't seen where it has rewarded that faculty performance except that you get a really nice letter from your chair and dean, you know, that you've been doing a great job."*

Deans/Directors

The deans and directors reported that one of the goals of post-tenure review is and should be to get rid of low performing faculty but that it did not achieve this. One dean explained that he felt they should take a positive approach to the review rather than a wholly negative one in an attempt to fire people.

> *"Well, I'm feeling rather impotent in this whole structure. I've been sued, out-committed, and the rest of it, and I don't see the strength in this somewhat negative evaluative accountability approach. I think our major strengths, as deans and leaders is a positive approach, giving encouragement, pushing, supporting, rewarding as we can, and handling the non-performers as best you can. You see, in other words, that would seem to me we're part of this accountability, let's not let any sin go on, kind of attitude that's common these days, and think it's a loser. You don't have a family that way. I don't think you...I don't think we can do that very well here. Now there are transgressions where people are just so incompetent they just have to be absorbed. Frankly, I have people on the shelf in my unit. I just don't have them out there hurting anybody. You think I could get them fired, don't kid me, it couldn't happen. So, I just figure, well, so I have three or four percent loser of people I just sort of contain, keep them safe, keep them from hurting anybody, and wait it out is my view. I don't think we have the structure or the heritage or the experience or the legal weight to do much more. That doesn't mean lay off of them, you kind of lean on them, encourage them, to get out or move or change, or you manipulate them, but you don't go to the wall and say, you can't do this anymore or I'm gonna get rid of you. I just haven't found that to be very productive."*

Office of Senior Vice President

This individual felt that other university constituents, such as the Regents, were judging the effectiveness of post-tenure review against measures that were not part of its purpose, such as the number of faculty who were fired.

> *"If you judge its effectiveness, as some of the Regents do, by how many people have been fired as a direct result, then it is an abject failure. That is not the purpose."*

■ Impact on Faculty Performance and Development

Faculty

In many cases post-tenure review was very uneventful for the faculty. They submitted papers and/or their curriculum vitae (CV), and then they operated under the notion that no news was good news. One faculty member referred to the review as a "benign experience." As a result, the majority of faculty interviewed did not feel that there was any significant impact on their own performance or development as a result of post-tenure review. When asked if post-tenure review had affected his productivity, one faculty member reported, *"It hasn't made any difference...."* Another interviewee commented that the review was a worthwhile pause for reflection but had not brought about any change in his behavior. One professor stated that *"... [His] own belief is that departmental culture has vastly more to do with how people behave, in terms of these norms, than the rules of post-tenure review."*

For some faculty, however, the review was motivational.

> *"When I knew that I was going to come up for post-tenure review it actually inspired me to well, hey, I had better get this publication out or give this graduate student a little bit of urging to get done. So, for me it was a positive experience and I can see that it would be a positive experience for people who are doing well. For people who really need it, which I supposed is one of the main reasons we started with it, that is for people who are not as productive as they were in earlier years, it might not be such a positive experience."*

One person talked about the review as a way to judge comparative worth.

> *"After they get tenure, simply for whatever reason, simply slow down in their productivity or don't keep up for what we consider our standards for productivity. And, I therefore think in that respect alone, the post tenure review is a good idea. I think it also helps the faculty member who has lost some productivity to identify where they are weak, if they do turn out weak in the post-tenure review."*

> *"I do think it is necessary because it does help you, yourself to find out what, how you are doing. Are you really living up to standards that we in the department have set."*

Another faculty member who was not found deficient but who did receive some constructive, developmentally focused feedback from her chair found that the review did modify her behavior in some ways. Both the chair and the director wrote letters regarding the faculty member's review and both suggested that she spend more time writing for refereed journals to strengthen a possible application for promotion in the near future. The faculty member explained,

> *"I'm more aware of... and we're trying at this point to do two things. First of all I have cut back on the amount of service, in that, for example, I was asked to serve again as the chair of a committee, and simply said, I just can't do it another time... So, I felt that was useful. I have gone back and re-looked at all of the materials and my publications in the past... and what I need to... what would be the most useful things to start doing."*

One faculty member who was found deficient the first time he was reviewed had a very significant experience. After initially deciding to file a grievance with the findings of his review, he decided to make changes.

> *"Because when that review came up, I said to myself, look, I know I will win the case. I said I will win the case because I am in the same pile as these other ten deadwood. But, then I was still pretty young. That was about 10-years back. And, I said, but do I want to stay with the deadwood for the rest of my life and keep on this every five year fight? And, so no, I don't want to. And, so I went and then I started talking to our dean after I won the case and I started getting all of these other grants from xxx and local industry and after that I changed my entire teaching approach and I got [high recognition] for teaching only recently. No, as a matter of fact, I went over and thanked my chairman later on saying, look because of what you did, I went through a major change so, thank you."*

Some faculty felt that promotion had a greater effect on faculty behavior than post-tenure review because there is more at stake, including one's salary. One faculty member advised junior faculty on changes they would need to make in order to be promoted and felt that these professors made the changes quickly. He did not express the same faith in the senior faculty.

> *"But for senior faculty, it's very hard to change their... they feel fairly secure in what they're doing, they feel that the sanctions are not that onerous if they get a bad review, in fact, they might even get some money out of it... So, I don't really see it [post-tenure review] as having that much benefit...."*

All of the faculty members interviewed felt that the development plans implemented as a result of a poor review were ineffective because, in essence, the plans never have to be completed. Deficient faculty members could drag out the plans and/or fight with the administration about the plan's implementation ad infinitum according to the faculty interviewed.

Union Board and Executive Director

There were mixed reviews by the union on the impact of the review upon individual faculty. They asserted that it worked best in those colleges where standards are clear and peer pressure to perform is present. They also felt it worked better for those faculty who fell in the middle of the performance continuum. In cases of deficiency, they felt that the serious lack of action undermined the credibility of the process. In reference to a specific case, they stated:

> *"There wasn't the next level of follow-through to either fish or cut bait. Either the individual was going to do these things and do a renewal plan or the individual did nothing and nothing happened. And what made this particularly painful was that it caused some degree of hard feelings within the department that the department chair was exercising his responsibilities and they generally wanted to help see this individual through to meet some of this renewal activity and he didn't do anything and nothing happened."*

Some commented, however that a 'Hawthorne effect' and a 'below the surface effect' (i.e., peer pressure) have actually worked to weed out some faculty.

Faculty Evaluation Review Committee

When asked whether they felt the post-tenure review process was an effective one, members of various committees said that they didn't really know because, despite their involvement in the process, they heard about the outcomes of their cases only through rumors. They make their final and binding recommendation to the Senior Vice President. However, no information or feedback is passed back to them after that point. This is a point of frustration for the committee members.

One committee member commented that he felt the process was positive for faculty who are performing well and fall within the range of acceptable performance. Another reported that he felt that the process clarified things for the faculty but was not sure if any real changes in behavior resulted. Another said that because no firings have resulted that he thinks that overall, it is nothing but positive.

Chairs

The chairs overwhelmingly agreed that post-tenure review does not impact faculty performance or development, even on those whom the review is designed to influence. The chairs explained that it seemed to them that almost all development plans are postponed beyond the time limit initially agreed upon. One plan a chair referred to had been delayed since 1988.

> *"Can I give an example? I have a case here where his original plan was set up in 1988, and he keeps writing forms that say I'm working on it... He's a very senior person, he's a mature person, let's say, what was I gonna do with it, you know, except continue it on."*

The chairs felt that this practice was not fair to the other satisfactory faculty and that the review process needed more "teeth" in order to impact deficient faculty members. They also felt that there were not enough resources available for them to sufficiently fund faculty development or to reward high performers, and that this was another reason the review had limited impact on people. If anything they felt that post-tenure review rewarded deficient faculty.

The chairs also felt that there was much more attention paid to research than to teaching in the post-tenure review process. This made it very difficult for the process to impact the quality of teaching at all, particularly because the student evaluations were the property of the professor and there was no requirement to share the evaluations with the chairs.

"My experience has been...and it's been confirmed by the discussion...that the object of the evaluation is research ...my experience has been that a person deficient in research, there was a plan developed and the...I know the dean's help, encouragement, etcetera, and I think worked to a certain extent, there were some results. However, there isn't much concern for any teaching assignments unless the teaching is extremely poor. I mean, there are these teaching deficiencies and some people who are active researchers are what I call ineffective teachers, that they don't do much to prepare for teaching, and that's not really addressed."

Deans/Directors

The deans and directors shared many of the same opinions and feelings as the chairs. They explained that post-tenure review does not remove problem faculty and, therefore, can have little positive impact on a department or a faculty member.

"We have a faculty member that we've been concerned about for a long time. The person took a series of leaves with pay and without pay, and whatever, and so he kept postponing the post-tenure review for a long time. They were finally back for an academic year, we did the post-tenure review, there was a, quote/unquote irregularity so we had to do it over again. Now there's...that was probably two years ago, the person has yet to...and there was a negative finding...the person was late in both processes in getting the information in,...has yet to come up with a plan, and the whole thing has just stalled, just sitting there and there's actually nothing I can do. And that's a bit of an exaggeration, but even if there is a plan and then they failed to meet the plan, if there is no power in the procedures to sanction them in any way."

They also expressed frustration that the post-tenure review process did not address teaching to a greater degree.

"I think there's a problem with including teaching, we don't do that as much and I always find that a problem because much as we want people to be great researchers, at least in my school, they also have to be able to teach, and we don't...we tend to sort of ignore that as long as they're not causing tremendous problems."

Some deans and directors also wished that post-tenure review could provide a means to address other problems such as alcoholism, intransigence, and mental problems among the faculty.

"Of course another problem with CV's, it doesn't contain a lot of the stuff that we're worried about, poor performance with students, mental health problems, alcoholism..."

Office of Senior Vice President

The impression from this academic affairs officer was that it was hard to formally document impact but that there are anecdotes and retirement decisions that would suggest that some faculty have been influenced by the post-tenure review experience.

■ **Tangible Results: Development and Outcomes**

Faculty

The overall perception seemed to be that there were very few tangible results from the post-tenure review process. Very few faculty members got any feedback from their chair or dean. Those who got positive notes of congratulations commented that they had appreciated them. Two of the faculty members were happy to discover where they stood with regard to others in the department. Three reported that they got a feeling of satisfaction from looking at their accomplishments as a result of the review. Two reported that the review served as a catalyst to finish a project or publication more quickly than they might have without the review. Many of the faculty interviewed reflected on how ineffective the development plans were and, as a result, how few yielded any sort of developmental outcomes.

One faculty member pointed out that post-tenure review does provide evidence of productivity, which could be used in the department's defense if needed.

> *"... I think the process of post-tenure review supplies evidence on the faculty that it should have, so that when outsiders, who can be anyone, from the governor to the dean, say, 'I'm not satisfied that your department is pulling the wagon', you can then take out these reviews and say, 'well, let's look at the evidence, and then talk about what you mean by that."*

Some faculty interviewed felt that the act of preparing their papers for the review was a useful outcome because it prepared them for the promotion process and gave them the opportunity to reflect on their own achievements.

> *"Well, I thought it was useful because it does give you the opportunity to sit down and re- think what you're doing and is this what you want to be doing, is this what you, should be doing, so I thought, in terms of evaluating yourself it was a useful process."*

A few of those interviewed said that the university and the faculty benefit from the post-tenure review process because they engage in ongoing reflection and review of faculty work.

> *"I think the post-tenure review policies do benefit the university because it allows them to periodically review the faculty. I think that's a positive thing, you see. It's too easy...see, when you have tenure you have a lifetime job. If there were no post-tenure review, then there would be a whole class of people who either were at the professor level or at some lower level but had given up of ever going higher, who would essentially do nothing, you see."*

However, others reported that the benefit to the university was inconsequential.

The Union Board and Executive Director

One tangible result that the union referred to was that the review process had *"... weeded out a lot of people since it came into existence."* Another tangible outcome was that within departments professors' workloads were shifted so that those with research deficiencies may be asked to teach more than those who excelled in research.

Faculty Evaluation Review Committee

Again, members of committees were not very clear on the outcomes or tangible results of the cases they dealt with because they did not know what occurred after they made their final and binding decision as to whether or not the faculty met expectations or was deficient. One member reported that post-tenure review is a nuisance for people who are doing their jobs because there are no real tangible outcomes. One major theme that emerged from this group was that there should be tangible outcomes from the review—both positive and negative, e.g. terminating a non-performing faculty member, enforcing developmental plans, or providing financial rewards for exceptional performers.

Chairs

Very few tangible results were discussed among the chairs in the focus groups. One tangible result they seem to desperately want is to get rid of "deadwood" faculty. But, they feel that post-tenure review has not delivered this outcome sufficiently. *"And so essentially it's a useless tool."* The chairs seem to feel that the post-tenure review process has value as a concept but that it is not achieving the results that it could. It is not living up to its promise or potential to reward excellence and transform weaknesses.

> *"We have no deadline and no consequence. I mean, see, if you have a plan without a deadline it's not a plan, so you have...this plan has no consequence to it. That's the truth, isn't it?"*

Deans/ Directors

The deans and directors expressed feelings similar to the chairs. Post-tenure review does not get rid of problem faculty, in their opinion. Nor are there sufficient resources for the review to be used as a developmental tool. And, as a result, the review process is not worth the time and energy invested by the chair and/or dean/director.

> *"Sometimes there's no outcome on this stuff. I mean, all of us get frustrated because we attend zillions of hours of meetings and we get nothing out of it, and it drives us absolutely crazy."*

This group mentioned that they have been revisiting the merit-pay idea and wondered if there might be a way to tie the two processes together.

Office of Senior Vice President

One of this interviewee's recommendations for improvement is that there need to be more tangible outcomes from the review process, particularly for those who are reviewed favorably.

> *"We need to place equal emphasis on identifying and rewarding superior faculty as on identifying those that are deficient."*

The idea of merit pay being tied in some fashion to post-tenure review was mentioned as well.

■ Impact on the Department

It seemed among all of the individuals interviewed—faculty, chairs, and deans/directors—that they discussed how individual departments handled post-tenure review more than the impact that the review had on the department. The methods employed in different departments were quite varied. For example, some departments used the department personnel committee to do the review rather than the chair (as designated in policy), and some chairs required only a CV while others required extensive paperwork.

Faculty

A few of the faculty interviewed had very negative, almost hostile experiences going through the post-tenure review process. They reported a great fear of going through the review again. This reflects a very negative potential impact upon departments. These same faculty members reported that post-tenure review had a negative impact on relationships within the department. Some also felt that post-tenure review afforded chairs or members of the departmental personnel committee to "grind personal axes" against those faculty members they did not like or had a grudge against. In one department, which uses the departmental personnel committee in the review process, the following was reported.

> *"In fact, when the post-tenure review process began to develop all its current bells and whistles the addition of the personnel committee intervention in my department proved to be the real, in my opinion, downfall of the system. It allowed individuals with axes to grind to grind those axes in a position of perfect anonymity. You know, the chairman is supposed to be, dealing with post-tenure review, and there's nothing anonymous about that, but the personnel committee operates behind a kind of cloak of secrecy."*

One faculty member explained that he felt those senior faculty were much more harshly critical of both their peers and more junior faculty after having been promoted up the ranks.

> *"I think that my colleagues have become a lot more critical as they have gained security in becoming full professors. When I...since I've been here 20 years, 19, I have seen this evolution in my colleagues that they're becoming more and more critical as they go up the promotion ladder."*

One interviewee felt that post-tenure review had good features such as,

> *"At the chair level... establishing personal relationships with the faculty, supporting them, being interested in their work, trying to showcase their work, providing circumstances for acknowledgement of the work that they do."*

He felt that this aspect of the review process could certainly have a positive impact on the morale within a department, particularly in larger departments and those in which these sorts of activities do not occur naturally. Post-tenure review could act as the default opportunity for such activities.

Another negative impact cited by those interviewed was that they felt that faculty were financially rewarded for being found deficient through the development plans established.

> *"For senior faculty, it's very hard to change their behaviors...they feel fairly secure in what they're doing, they feel that the sanctions are not that onerous if they get a bad review, in fact they might even get some money out of it if they get a bad review because the university offers funds, at least it did, if you got a bad review."*

They also felt that this fact as well as the current hiring freeze provided disincentives for chairs to find faculty deficient. If they were successful in getting rid of a "deadwood" faculty member, the university would not permit them to hire a replacement.

> *"The faculty shrinking situation every time there is a vacancy the position goes back to the president's office, the department and dean have no control over the positions, so even though the person is incompetent, there is no incentive at this moment to drop the person out of the department. At this moment if he is the person who is not satisfactory, and if he is realizing he is only contributing 20 percent of the normal load, that 20 percent is still 20 percent. If you push him out of the department we lose that 20 percent as well."*

Some faculty reported that post-tenure review sends the message that performing at a minimal level is enough to be considered satisfactory. One faculty member said,

> *"I think that post-tenure review essentially tells people, well, you're doing ok, you're doing the minimum, so it's all right, and in this area and that area you've got to come up a little bit, so the person does some work and they come up. But in terms of having productive faculty, I don't know."*

Another asserted that knowing the impact of the review on the department was hard to address because there didn't seem to be any consequences that could be invoked:

> *"I just think that this process doesn't have that kind of teeth in it so to speak. It is another sort of collegial thing."*

"It doesn't end up producing what you'd like it to. Instead of having a better teaching situation, we've got a worse one. Instead of having more research, you've got a lot of paper filled up with words on it that really don't accomplish a great deal."

Union Board and Executive Director

As mentioned above, the union reported that in some departments the workloads were changed to take advantage of each faculty members' strengths—those who were better teachers than researchers were assigned more classes to teach. The union representatives also pointed out that they have been supportive of merit pay but with the immutable condition that funds to support it, not come from the regular salary step process. The union sees the administration as dragging its feet on merit.

Faculty Evaluation Review Committee

Members of the various committees did not report any positive impact on the departments as a result of the review. One committee member reported the following scenario, which would have a negative impact on a department.

"Well there is nothing to encourage good people and there is nothing to discourage bad people. What if you come to my department and teach a class poorly? What do I do? I assign you courses, small courses with few people so you do the least damage. Which is, of course, what every good teacher really wants. And the people who are really good get all of the crappy courses... All of the administrative work goes to the good people."

Chairs

The chairs reported that they work very hard to keep the post tenure review process internal to the department in order to minimize the potential negative impact on the department. As mentioned above, the have a strong disincentive to lose faculty, and they don't want their departments to look weak to the outside world. There was a very strong message in the chairs' comments that the process does not help them get rid of non-performers anyways.

"But under the current situation with the five-year hiring freeze on faculty, we lose the position, somebody else then has to go teach this guy's classes, and everybody said, hey, look it's not in our interests to get rid of this guy, it just means more work for us. So, if this university were healthy, and we were able to hire faculty to replace deadwood, then the system would be more useful."

Deans/Directors

The deans reported that there was not much impact on the departments. They also highlighted the lack of impact that post tenure review seemed to have on getting rid of poor faculty members. One problem that was highlighted is that asking the chairs to perform the review is problematic. For example, they may experience a conflict of interest in performing the reviews as many of them have been voted into the position by their peer faculty.

"Well, I'd say one of the fundamental difficulties with the way it's set up now is that it's just as been described, a close relationship between the chair and the faculty member. As frequently...and I think that varies...clearly by individuals involved, but also it varies by colleges...but in many cases the chair is, in a sense, an advocate of his or her department, to a larger unit... And a union member, and is in a difficult position of having to judge a fellow faculty member. In many units the faculty themselves determine who the chairs will be, in one-way or another. And the fact that there's no oversight of this relationship and the decision and evaluation after the chair means that in many cases you get these ridiculous reviews."

Office of Senior Vice President

The topic of impact on the department was not specifically addressed. However, the point was made that considerable time is invested by central administration in overseeing the annual 'roll out" of the policy. In this way, the policy impacts this particular unit's workload.

■ **Is it Worth the Effort?**

Faculty

Despite the numerous and passionate complaints they have about the system, the majority of the faculty interviewed stated that University B should retain post-tenure review. They said that it served a useful purpose for them personally and that, in principle, it was good for the university as a whole. Therefore, one might conclude that they did feel it was worth the effort. Several faculty but clearly not the majority explained that they had spent a large amount of time preparing the documents for the review process. One faculty member explained,

"... [I] t's not nearly as much paperwork as if you're going for promotion and tenure but... it still takes a chunk of time just to pull all of this together, and put all the numbers down, and collect all the publications and so forth, but it's a good record of what you've done."

"For the post-tenure review it wasn't too time consuming. I didn't find it too terribly time consuming, although I put time into it. Certainly it took some time and thought, but it wasn't an extensive amount."

Some faculty reported that it was a good opportunity for them to reflect upon their own work and felt that all faculty should record their work annually in a similar way.

> *"It's...I think it's good, I think everybody should do it every year. You need to write down every year...I've tried to do it, although I think two years ago I didn't do it, and there's a big gap, you know, I have in my computer, and there's one year where I don't have it down. And I mean everything, all the little meetings I've attended, all the committees I've served on. If you do that every year then these kinds of things are pretty easy, you just go through and pull them out and put them in, you know, the correct format that you want. It helps you see your professional growth or development, your accomplishments."*

> *"I found it useful more for myself than for someone evaluating me, to sit down once again and think through, you know, what am I doing, what is my research agenda, where am I putting most of my time and energy, what do I need to do."*

> *"Yeah, I always think it is good. I think it is a good idea. I feel it is an obligation in a way that we have for working here. I think that somebody needs to be checking up on people."*

> *"Well, it had value but was it worth it? I mean, I think that there should be a tenure review process. A five-year post-tenure review process. That is what I mean. I think it is a good idea. But, for it to just be another time for people to get their needle hooks into you, I don't think it is a very good idea."*

> *"I think that anything that is done here to enhance the quality of faculty and their performance should continue. I guess that would be my bottom line."*

While most felt that post-tenure review was worth the effort, *"I think post-tenure review is absolutely necessary,"* others, although in the minority, exclaimed, *"Get rid of it, it's a waste of time."* Those who thought that the review was a waste of time focused upon the lack of effectiveness in getting rid of non-performers.

> *"So, I think in principle it is a good idea, ...but on the other hand if, as I said there is no mechanism to make those people retire, then it's a waste of time. So I think in principle it's a good idea, so putting in teeth I think is very important, putting teeth into it to make it work."*

> *"Well, ok, in the abstract it does seem to serve a useful purpose to have each person looked at every five years, and I think we all do understand that there are expectations and that we have to keep writing. So, I guess my conclusion is that there is value in the post tenure process, if it were handled properly. But then more important is put some teeth into the process so that if deficiencies are found, some consequences follow... including termination."*

Union Board and Executive Director

The majority of the union representatives did not want to get rid of the post-tenure review policy. Some of the union representatives reported that, while there are many problems with the system, it is working and was worth the effort invested.

> *"It has been a healthy and useful exercise. Many departments have used this exercise in a positive way. How do you know that? Because not a lot of grievances have come down the pike."*

> *"Our university is a lot better functioning institution because this review has been in place. It really is. And, it has given options of colleagues dealing with colleagues that they never had before. This forces you to talk to your colleagues about your work."*

However, this sentiment was not universal among the group representing the union. Others felt that the process had become "pro forma" and was no longer worth doing. Another reported that the review had outlived its usefulness. Another referred to the lack of resources available to help faculty with professional development. Without these resources, what good is a development plan? One union representative stated,

> *"University administration quite frankly has given up on this policy. They don't care about it. Why did they stop funding professional development? Why did they not implement merit pay? Because they thought what the system was going to do was to be able to provide them a roadmap of evidence to discharge. And, that is all they cared about. They didn't care about it for any other reason. When it proved that it wasn't going to provide this... they haven't paid attention to it."*

Faculty Evaluation Review Committee

Faculty members were generally in favor of post-tenure review but saw a need for building tangible outcomes into the system including recognition and incentives for a job well done. While they felt that they learned a lot from their own experiences as part of the committee, they also thought that they could be more involved in the process and provide more feedback. One committee member referred to the "imprisoned mentality" at work with regard to the committee.

> *"We were asked for only a yes or no answer, but the complexity and difficulty of the case compounded the situation and the committee suggested a means of resolution but then were told that the committee had exceeded its role."*

It seems that the committee's efforts on cases of appeal are not utilized to the extent they could be because they are asked for simply a "yes or no answer" when they are capable of and want to provide more.

Chairs

The chairs expressed mixed feelings about whether the review process was worth the effort. Some felt it was a great waste of time because they couldn't do anything with it, citing the process had no "teeth." Some felt it was useful internally for the department. One member cited, *"It is useful to remind people to keep working. It is useful internally."* Another stated,

> *"I had a cynical view when it was first put out, as a compromise between tenure on the one hand and making sure the union wouldn't be against it on the other, and I thought it was a good start between the administration and the union to call it professional development, and at least introduce the concept that there was such a thing as post-tenure review. And I still hold to that very positive view that this is something which the faculty can go, oh there is a post-tenure review.' So I think that, in my point of view, it is the wake-up call to the faculty that they would be reviewed. In fact, of course it did in the first run lose 41 deadwood faculty. In my first two evaluations I managed to lose my two solitary deadbeat faculty, and from that point of view it was valuable."*

And, they felt that it helped professors to prepare papers for other review processes.

Deans/Directors

The deans and directors did not feel that post-tenure review was worth the time and effort. When asked directly whether the review was worth the effort, one dean/director responded,

> *" I would say not unless you have an individual who can be very easily intimidated and likely to move without making too much fuss."*

Another dean/director explained his consideration before taking on the fight required in a negative review.

> *"... [T]he energy required to bring these things off. A couple years ago I had a non-performing person and I was urged by others to go after them and bring it all the way up, and I looked and I said, 'Well, I can spend the next three years of my professional life working on this one with a chance of failure being heavy, or I can work with a large number of very productive people and bring them on and we can absorb this person and bear the costs."*

Office of Senior Vice President

The perspective expressed was that post-tenure review is worth the effort.

> *"I think if we were to try to stop doing it, the consequences would be worse. There is a certain degree of preemption about having a process in place to which you can point."*

And, he/she feels that the process is working. Faculty do choose to retire as a result of the review process being in place. The review helps to *"crystallize some peoples' intentions..."* to retire and has value for all faculty.

"It is hard to document... I have to call it an act of faith. But, I do think there is value just in the fact that if there is a process, once every five years, people write down what they have been doing in such a way as to explain it to someone else, their department chair... and so there is some sort of process here."

■ Benefits and Problems

Benefits

Faculty

The faculty did not overwhelmingly agree on what the benefits of post-tenure review were for their institution. Two faculty felt that the paperwork required for the review served as a good record of the work they had done. Several faculty stated that the review provided an opportunity for the faculty as well as the departments and the university to reflect upon the work being done. A few faculty members explained that in the first two rounds of post-tenure review, some of the under-performing faculty were prompted to start working again by the process.

"Well, I think it's a good thing to have because...ok, I think the effectiveness of post-tenure review was greatest the first and, perhaps, the second time it was done. The reason is there was a whole layer of people who had gone to sleep and had no way of waking up, and post-tenure review got rid of them."

Some conceded that early retirements had been an effect and benefit of the review process. Some knew that the review was a way to alleviate external concerns about tenured faculty workloads and performance, which was one of the original intentions of post-tenure review.

Union Board and Executive Director

There was not a consensus among the union representatives as to what the benefits of post-tenure review are. A few referred to the new opportunities for collegiality that the review provided. One person explained that the university's lack of interest in the review helped collegiality.

"I think lack of administrative interest in the process is maybe a good thing. Because it means it is mostly then for our peers. Lack of complaints attests that it isn't arbitrary. I don't think going and sprucing it up a whole lot more is going to make it better and I'm scared it could make it worse."

Another representative stated that the procedure was beneficial because it allowed faculty members to review their own work and ask themselves, "How am I doing? What is expected of me? Where can I improve?" And, as a result of this reflection there is greater follow through on professional development, in general, among the faculty.

Faculty Evaluation Review Committee

One of the benefits for the members of committees themselves was that they gleaned a greater understanding of the university as a whole and the differences in scholarship and expectations across disciplines as a result of serving on the committee. They reported that the committee could help build community among faculty across campus. They also felt that the review process benefited faculty by serving as a catalyst for clarifying their accomplishments.

Chairs

The chairs saw benefit to the use of the process internally. For example, they felt it provided opportunities for renegotiation of faculty assignments. The chairs found it beneficial to monitor their own departments rather than having others police them. One chair explained, *"People don't realize the value of whatever isn't working still provides a protective cocoon for the faculty and the chairs to do the work...."* And, like the faculty, the chairs conceded that post-tenure review has, in fact, lead to some early retirements that may not have occurred without the review.

Deans/Directors

The dean/director group also credited the first two rounds of post-tenure review for having gotten rid of 41deadwood faculty. They also stated that the review did, in fact, motivate the faculty to some degree. A few members of the group said that the institution periodically uses the post-tenure review results to compare itself with peer institutions, which was another beneficial feature.

Office of Senior Vice President

Some of the benefits expressed that make the review worth the effort are that it helps faculty to clarify their own intentions to retire, and it helps faculty reflect on their own work by being forced to record their accomplishments and present them to the chair. There is also a benefit simply in having the process in place, aiding the university in external accountability.

Problems

Faculty

Each interviewee was asked whether he/she felt the post-tenure review process was effective. The majority of the faculty cited many problems with the process as it was currently being practiced.

- There is no format to follow and the standards are unclear which lead to two faculty feeling "ambushed" and having "terrible experiences." Some faculty are required to submit only their CV while others report it as being a "retenuring process."*
- The processes and expectations are unclear. *
- There is no avenue for self-evaluation. *
- Most do not receive constructive feedback unless they are found deficient. *
- There are no incentives involved. *
- No one who is helpful to the chair of the department will receive a negative review, regardless of his/her performance as a faculty member.
- There are no negative consequences when faculty do not complete their developmental plans.*
- Poor researchers produce shabby research just to produce something and poor teachers are required to teach more as a result of post-tenure review.
- The review does not get rid of deadwood because the process has no "teeth." It does not make people retire. *
- There are no real consequences for those who do not perform well. *
- The review takes a good deal of time. *

* Mentioned more than once

Union Board and Executive Director

- It is difficult to change peoples' behavior.*
- There is heavy emphasis placed on research as a Research I institution and there are "casualties" as a result. Those who are not good researchers drift away.
- We do not do a good job of evaluating effective teaching. It is more difficult to evaluate than research.
- There is uneven application and knowledge about post-tenure review across departments. People should know more about it.
- Performance standards and expectations were set by departments in the late 80's. There is a hesitancy to review them again because it might cause more retirements and turnover.
- Unequal rigor applied in the reviews across departments.
- There is no consensus around what the university mission is or the desired strategic outcomes of the review process. Faculty were never consulted on the university's strategic plan. Therefore, every department does what it thinks it should, but there is no consistency or pulling together across campus.

Members of Faculty Evaluation Review Committees

- The committee is asked only for a "yes or no answer" and is not given the opportunity to help in the matter that is appealed.
- The committee does not always have access to all the information it needs.
- Post-tenure review does not receive the same emphasis as other processes within the institution.
- The review is a nuisance to people who are doing their job because there is no tangible outcome for them.
- There is little sense of community on campus.
- Communication on campus is poor.
- The faculty involvement in the review process is too limited.

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*Mentioned more than once.

Chairs

- There are no teeth to the process, and it does not get rid of the marginal faculty members.*
- More deficiencies are present than one can see from outside the department. *
- People do not have to undergo a review if they announce that they will retire soon. They can't then continue hanging on indefinitely. *
- The chair does not sign the development plans; the dean signs them. It seems that the chairs cannot follow through on what is designed to be their responsibility. There is a lack of clarity regarding the chair's role. *

[**Note:** This view was expressed; however, the policy stipulates that "the final plan shall be in writing and signed by the faculty member, Department Chair and the Dean."]

- All development plans are postponed without penalty. *
- Post-tenure review is not implemented the same way across campus. *
- There are no resources for faculty development or faculty rewards. *

Deans/Directors

- The process does not get rid of non-performers because it has no teeth. *
- The chair has a disincentive to find people deficient because he/she must act as an advocate for the department.
- The process does not allow them to deal with alcoholism and other such problems.
- The role of the chair is problematic because they have responsibility but no power and their relationships with the faculty may cause a conflict of interest.
- If you sanction someone, he/she will grieve it, and you will lose. *
- There are no rewards for finishing the development plan and improving.*

* Mentioned more than once

Office of Senior Vice President

- There is little enthusiasm for the current process and little follow-through.
- The professional development aspect of the policy has been lost.
- *"The policy is a little like the marijuana laws of the '60's. They were nice reading, but they end up encouraging scoffing at laws."*
- *"The institution must consider either making the review a serious process or getting rid of it because if something is not taken seriously, it can be damaging."*
- There are no real tools to use for sanctions when they are needed.
- The university's strategic plan had very little faculty or student involvement. "It is as if we got the right answer through the wrong process."

■ Recommendations

Each interviewee and the members of the focus groups were asked how they might change and/or improve the post-tenure review process. There were many recommendations for change. Two strong themes emerged: Strengthening review results in the form of rewards and changing who performs the reviews. A third theme that surfaced was the notion of limiting tenure after a certain age.

Faculty

- Almost all of those interviewed felt that there should be rewards and/or merit pay built into the system to provide benefits and incentives to those who are performing well. These could include sabbaticals, travel money, a grad assistant, etc.
- Many felt the process should be made more collegial overall.
- Several faculty suggested implementing a tenure system that is limited in time once a faculty member reaches a certain age. At that point he/she could be placed on a 3-5 year renewable contract, the idea being that one must compete for one's own job. They felt that this would give the process the "teeth" it lacked and that it would enable post-tenure review to rid departments of marginal faculty, as it should, in their opinion.
- Several faculty members also felt that the person or group who performs the review should be changed. They did not necessarily agree upon who that person or group should be. Some felt that it would be appropriate for the department personnel committee to perform the review while others said it should not be that group due to their workload and lack of time. Others felt that the process belonged with the dean/director of the department.

- Some suggested that the process be made more uniform across campus. Some felt that there should be more flexibility in applying the standards and criteria, that these criteria should be determined at the department level.

- Two faculty suggested that the orientation and mentoring of new faculty may help this process.

- Three suggested emphasizing development rather than deficits, as the plan was originally intended.

- Two faculty explained that the post-tenure review and the expectations of the review should be linked to departmental planning or goals.

Union Board and Executive Director

- Administrators need to take action on the review.

- The administration needs to come through on professional development funds and merit salary increases.

- A couple of well-publicized cases of faculty getting fired may help the process.

- Keep the expectations of materials submitted for the review simple.

- Train the chairs in the evaluation process.

- Mentoring and money must be available to help faculty re-train.

- Reward good performance with incentives.

- The deans should use their power to make the review more credible and useful.

Member of Faculty Evaluation Review Committees

- There need to be tangible, real outcomes—both positive and negative. Incentives or rewards for high performing faculty who are reviewed favorably might include: course reduction, money for travel, bonuses that are not added to one's base salary, release time, acknowledgment strategies for recognition, and summer visitation.

- Members of the committees recommend getting the faculty involved at an earlier point in the review process. They feel the process is currently too top-heavy with administrators. The involvement of departmental peers might help the process to be taken more seriously.

- Both the committees and faculty would benefit from the creation of a unit or individual whose focus was counseling and faculty welfare to whom a panel member could go for help.

Chairs

- The chairs also felt that another person or group could better handle the review process. However, they did not concur on who that should be. Most chairs agreed that the process should be made more collegial. Some felt that the department personnel committee could accomplish this while others felt that a new faculty committee, founded for the sole purpose of performing post-tenure reviews, was called for. "Colleagues discussing colleagues" may make the process more meaningful and give it more "teeth," according to the chairs.

- Many of the chairs felt that resources needed to be available for both the funding of professional development plans and rewards for excellent faculty.

- A small number of the chairs felt that a renewal of contract procedure for faculty after a particular age, such as 65, might improve the post-tenure review process.

Deans/Directors

- The deans/directors recommended changing the structure of the post-tenure review process. They felt that the chair was not the appropriate person to perform the reviews because he/she had disincentives for finding fault with his/her own faculty and was selected by the faculty to become chair. The relationships between the faculty and chair, as a result, were problematic.

- The deans/directors felt that the stakes for post-tenure review needed to be raised to the level of promotion and tenure. If development plans are not completed, there should be consequences, including dismissal. If development plans are completed successfully they should result in some sort of merit reward.

- There were several recommendations that concerned changing tenure at a certain point in a professor's career. One dean/director suggested a sliding scale of rank so that someone could be demoted rather than fired when found deficient. Another dean/director recommended negative salary increments, while another suggested a re-licensing process for faculty.

Office of Senior Vice President

- There should be equal emphasis placed on identifying and rewarding superior faculty as on identifying and improving those who are deficient.

- Include more peer review. This may result in more help provided to those faculty who need it. The chair may not be as interested or intentional as a group of peers.

- Tie tangible merit outcomes to the process such as: 4-8% merit salary increases, upgrading a piece of equipment, hiring a graduate assistant, or providing release time.

- There should be a central source of funds for post-tenure review so that the competing needs of the departments don't redirect monies away from this type of faculty support.

Survey of Tenured Faculty and Administrators

A survey was sent to all tenured faculty members who underwent post-tenure review since its implementation and all academic administrators. Survey items specifically targeted issues related to policy effectiveness; impact on performance and professional development; benefits and problems; usefulness of peer review; assessment of overall worth in relationship to time involved; and suggestions for improvement.

Of the 1150 surveys distributed, 529 were returned. This represents a response rate of 46%. For survey research, this is a modest response rate. Therefore, one must exercise some caution in generalizing from these results.

Analysis of Survey Responses

Survey responses were analyzed using descriptive statistics, including frequency distributions, measures of central tendency, cross tabulations, and correlation matrices.

In analyzing our results, we also considered the differences in responses between faculty and administrators on specific questions of interest. We reviewed the means of the responses for each question and performed the standard t-distribution test for differences between means with the appropriate degrees of freedom. We typically used a 1% significance, two-tailed test for the analysis. What follows are the results of the analysis for only those differences that were found to be significant at this critical level. Occasionally, we do add a brief discussion of no significant difference to certain important questions.

Description of Survey Respondents

A total of 529 surveys were returned. Seventy-four percent (74%) of respondents were faculty members and twenty-six percent (26%) were administrators. A brief respondent profile follows:

Gender

- Sixty-nine percent (69%) were male and 31% were female.

Age

- The majority (58%) were between 46–59 years of age; 25% were above age 60; and 17% were 45 years of age or younger.

Rank

- Most held full professor rank (63%), 27% were associate professors, and the remaining respondents held rank of assistant professor or instructor. [Since 1977, tenure is no long granted at the instructor or assistant professor rank.]

Time in Rank

- Over three-fifths (63%) held their current rank for 10 years or less, another 23% held their rank between 11 and 20 years, and another 14% held their rank between 21 and 35 years.

Tenure

- Forty-five percent (45%) held tenure for 10 years or less, another 15% held tenure between 11 and 15 years, a quarter (25%) held tenure for 16 to 25 years, and 15% held tenure between 23 and 38 years.

Time at Institution

- Fifty percent (50%) of the respondents have been at this institution for less than 20 years, 30% have been there between 20 and 30 years, and 20% have been there between 31 and 45 years.

Organizational Affiliation

- Approximately 58% of respondents resided in one of University B's colleges, another 15% resided in a professional school, 5% affiliate with an organized research unit, and the remaining 22% either reside in units outside of the college-school-research unit structure or did not indicate specific unit affiliation.

Administrative Profile[3]

- Of those holding an administrative role, 42% were department chairs, 18% were deans or associate deans, and 40% held other types of administrative roles.

- Over two-thirds (65%) have held their administrative positions for 5 years or less, and one-quarter have held their position between 6 and 12 years. The remaining 10% have been in an administrative role more than 13 years.

[3]For purposes of this study, department chair is considered an administrative role even though this position is defined as 'faculty' in University B's bargaining contract.

■ Survey Results

Familiarity with Institutional PTR Policy

Respondents were generally familiar with the institutional policy for the review of tenured faculty. About 80% indicated some level of familiarity: 40% were **very** familiar and 40% were **somewhat** familiar.

The expressed level of familiarity with policy differed significantly, however, between faculty and administrators. Administrators as a group responded more often than faculty that they were very familiar with the policy.

A little more than two-thirds of all respondents (67.9%) had been reviewed. Fifty-four percent (54%) of those reviewed had been through the process once, and forty percent (40%) had been reviewed twice.

Policy Goals/Purpose

A majority (about 60%) of the respondents indicated that they thought the policy had **multiple** purposes rather than only **one** primary objective. The purposes cited most frequently were:

- To review performance in order to assess if performance expectations are being met — 77%
- To assess individual performance in order to remedy deficiencies — 58%
- To assess career development goals and establish of plans for continued growth and redirection — 27%
- To increase accountability to outside constituents — 27%
- To increase institutional effectiveness and responsiveness — 22%

Less than one-half of one percent responded that the policy was intended to reward excellence.

Faculty and administrator perspectives on purpose were significantly different insofar as administrators were more likely than faculty to list as the primary purposes for the policy the assessment of career development goals and establishment of plans for continued growth, as well as increasing institutional effectiveness and responsiveness.

Policy Effectiveness

When asked how effective the post-tenure process was in achieving its purpose, over fifty percent (53.5%) of respondents indicated they considered the process to be more **ineffective** than effective. Only 23.6% rated the process as either *very effective* or *somewhat effective*, and 13% were neutral.

There were no significant differences in the way faculty and administrators responded to this question concerning effectiveness. The table that follows breaks down aggregate responses:

Q3: How Effective Is Policy in Achieving Primary Purpose?

	Total Respondents (%)		Faculty (%)	Administrators (%)
No Opinion	6.7		7.2	5.2
Very Effective	2.1	> 23.6	1.3	4.4
Somewhat Effective	21.5		20.3	25.2
Neutral	13.1		14.1	10.4
Not That Effective	29.7	> 53.5	29.0	31.9
Very Ineffective	23.8		24.6	21.5
Too Soon to Know	3.0		3.6	1.5
	100.0		100.0	100.0

When asked to cite reasons for policy ineffectiveness, three were chosen by the majority:

1. Review has shown little evidence of positive outcomes so far (55%)

2. Review is not taken seriously because there are no sanctions for poor performance (51%)

3. Review is not taken seriously because there is no significant follow-up action to the review (50%)

There were no significant differences between faculty and administrators in the reasons given for policy ineffectiveness.

Regard for Policy: Departmental Members

Tenured Faculty

Respondents were asked to indicate how favorably the post-tenure review process is viewed by members of their immediate department.

As can be seen in the table that follows, the majority indicated that they thought the process was viewed more unfavorably than favorably by departmental tenured faculty.

Q5 (B): In Your Opinion, How Favorably Is the Post-Tenure Review Process Viewed by *Departmental Tenured* Faculty?

	Total Respondents (%)		Faculty (%)	Administrators (%)
1. Very Favorably	.6		.3	1.8
2. Favorably	6.2	17.3	5.8	7.1
3. Somewhat Favorably	10.5		10.3	11.1
4. Neutral	19.5		18.9	21.4
5. Unfavorably	18.5	46.5	18.6	18.3
6. Somewhat Unfavorably	16.7		17.5	14.3
7. Very Unfavorably	11.3		11.1	11.9
8. No Basis for Opinion	16.7		17.5	14.3
	100.0		100.0	100.0

Also of interest are findings that:

Department Chair and Dean

- The majority believed the process was viewed more favorably than unfavorably by the department chair and the dean. Not surprisingly, administrators differed significantly from faculty in the degree to which they were able to express an opinion on this. Faculty more frequently were either neutral or had no basis for an opinion; administrators, on the other hand, were significantly more opinionated about the degree of favor.

Probationary Faculty

- Respondents were pretty evenly divided in their impressions of how probationary faculty regard the policy. About 15 percent noted favorable regard; another 15 percent noted unfavorable regard and 46 percent indicated no basis for an opinion.

Students and Professional Staff

- Over 70% of the respondents said they had no basis for opinion with respect to how students and professional staff viewed the process.

There were no other significant differences between the responses of faculty and administrators on this question.

Impact on Performance and/or Development: Faculty Within Department

Over fifty percent (53.6%) of all respondents indicated that based on their **direct** experience with post-tenure review, they held a **neutral** opinion about the impact of the review on performance and/or development of faculty members within their immediate department. The remainder were fairly evenly divided between those noting a positive impact and those noting a negative impact. In both cases the percentage of response was very low, with 16.5% indicating a *highly positive* impact to a *somewhat positive* impact and 17.4% indicating a *somewhat negative* to *highly negative* impact.

When responses were analyzed by administrator and faculty category, the results show that there is a significant difference in how both groups responded to this question. Administrators were more positive than faculty in how they viewed the impact of the process on tenured faculty within their department.

About 20% of the respondents provided reasons why they believed the review had a more negative than positive impact on faculty within their department. Response analysis revealed one predominant theme. About half of the comments centered around the idea that the process is not taken seriously. The reasons given for this ranged from the belief that; (a) the policy as practiced has no teeth and therefore, no observable outcomes; (b) that policy outcomes emphasize a punitive objective only and do not offer reward or development opportunities; and (c) that there is no administrative follow-through--no helpful feedback--and therefore, it is an exercise in futility. The words of one respondent really sum up the predominant impression expressed by many:

> *"I have seen no evidence of either rewards for good jobs nor sanctions for poor ones."*

Impact on Performance and/or Development: Individual Faculty Member

Respondents were asked to indicate the benefit of the review to their own performance, as well as the impact of the review on their professional and personal career development.

- **Assessment of Performance**

  A very small percentage, only 2.4% of the tenured faculty respondents, indicated that their own review resulted in an assessment that their work was in need of improvement and that a professional development plan was required. Virtually all others (97.6%) reported being assessed as meeting or exceeding expectations. Of this group, 1% reported that they were rewarded accordingly.

- **Benefit to Faculty Work**

  By almost a 2-to-1 ratio, more respondents said post-tenure review was *not beneficial* (43.2%) to faculty work than said it was *beneficial* (19.3%). However, 36.7% indicated neutrality on this question. Administrators were slightly more positive in their response than faculty. Further analysis also showed that there were no significant differences in benefit reported between respondents who received satisfactory or above reviews and those who received a less-than-satisfactory review. Although 50% of the faculty whose review was less than satisfactory was neutral on the question of benefit, 37.5% indicated the review to be slightly beneficial and 12.5% indicated it was not beneficial.

- **Benefits**

Faculty who indicated that they viewed the process as beneficial were asked to comment on what the greatest benefit was for them. Two principal themes emerged:

1. Review helped individuals to focus on level of professional contribution and maintain motivation.

2. Review provided opportunity to self-assess and improves.

- **Drawbacks**

At the same time, faculty who indicated that the process lacked benefit were asked to elaborate on the greatest drawback of PTR to their faculty work. Again two major themes surfaced frequently:

1. Lack of useful results or outcomes from the review. Sanctions were lacking when warranted; feedback and development resources were not forthcoming for those who wanted to improve; and rewards and merit were absent for those who deserved recognition.

2. Time consuming and a waste of effort because there are no real outcomes from the process.

One respondent captured both themes:

> *"I had no tangible benefits. So it took time and there was no change in my teaching or research—I was left with a 'so what' feeling (but it's what I expected)."*

- **Benefit to Professional/Personal Career Development Planning**

While almost 43% of respondents were *neutral* on the question of how beneficial the review was to career development planning, almost as many (43%) reported that the review was *not beneficial*. Only 15.4% reported some level of benefit. The table that follows shows how administrators and faculty responded.

Significant differences did exist in the responses of administrators and faculty. Administrators were more positive in general about the benefit to career development and planning than faculty.

Question 13: How Beneficial Is Process to Professional/Personal Career Development and Planning?

	Faculty (%)		Administrators (%)	
No Opinion	2.7		1.2	
Very Beneficial	—		2.4	
Mostly Beneficial	7.8	12.5	7.3	20.5
Slightly Beneficial	4.7		14.8	
Neutral	42.6		43.9	
Clearly Not Beneficial	41.8		30.5	
Too Soon to Assess	.4		—	

Further analysis showed there was only a marginally significant difference ($\underline{P} = .042$) in the response to this question between those receiving a satisfactory or better review and those receiving an unsatisfactory review. Those receiving an unsatisfactory review were twice as neutral in their response regarding benefit as others, and those receiving a positive review were almost three times as negative in their response about benefit to career planning. Respondents were asked to expand on what the greatest benefit and greatest hindrance of post-tenure review was to their individual career planning and development.

- **Benefits**

By far, the greatest benefit cited was the ability to engage in career assessment and personal goal setting.

- **Drawbacks**

  The drawbacks mentioned by a majority were that the process was time consuming and of no real positive consequence to one's career. Responses suggested that the review was pointless and meaningless with respect to career planning because it doesn't focus on the future, and it lacks resources to support careers.

Worth the Time and Effort?

Respondents were almost evenly divided in their perspectives regarding whether the process is worth the time effort it requires. One-third (33.3%) thought that post-tenure review was worth the time and effort required. Another third (34.7%) thought the review was not worth the effort because the costs outweighed the benefits. The remaining one-third were either unsure or thought it was too soon to assess.

Analysis of faculty and administrator opinions, however, demonstrates that administrators are significantly more positive about the worth of the process than are faculty.

Components of Review: Procedures and Process

Respondents were asked to comment on clarity, fairness and consistency in the review process and procedures. Respondents were generally more favorable in their assessment of the clarity and fairness of both **review procedures** and the **criteria** than with all other aspects.

The responses can be divided into two groups: those procedural components where the majority responded **more** positively than negatively (i.e., with a response of 'yes' or 'somewhat present') and a second group where the majority responded more negatively than positively or were unable to judge.

The first table that follows shows areas where responses are more positive than negative.

Procedural Aspects	% Yes	% Somewhat	% No	% Insufficient Experience	NA
Procedures:					
• Clear procedures	35.5	31.8	19.3	13.3	—
• Procedures followed in fair fashion	35.4	23.2	10.9	30.3	.2
Criteria:					
• Clear criteria	27.4	33.1	21.3	18.1	
• Criteria applied fairly	25.5	25.5	10.6	37.7	.8
Other:					
• Documentation prepared is manageable	48.1	23.4	6.0	22.2	.4
• Chairperson's role is understood	43.2	24.6	14.7	16.8	.8
• Dean's role is understood	31.0	22.3	21.1	23.7	1.8

The next table displays responses to the remaining procedural components. It should be noted that two procedural components—follow-up and outcomes—were viewed less positively in this table than others by virtue of the percentage of responses in the 'no' and 'insufficient experience to know' categories.

Procedural Aspects	% Yes	% Somewhat	% No	% Insufficient Experience	NA
Procedures:					
• Procedures followed in consistent fashion	28.4	20.9	15.5	35.2	—
Criteria:					
• Review criteria followed in consistent fashion	25.3	22.3	13.1	38.8	.4
Preparation of Reviewers:					
• Are peer review committee members prepared and trained appropriately?[4]	8.6	12.3	28.6	33.2	—
Appeal:					
• Are faculty appeal procedures adequate?	24.0	11.9	7.7	53.7	2.6
Follow-Up and Outcomes:					
• **Are possible outcomes from the review clear?**	**18.3**	**23.1**	**33.9**	**22.9**	**1.8**
• Are possible outcomes applied in a fair manner?	12.8	18.6	12.3	54.0	2.2
• **Is there an adequate range of rewards and development opportunities available?**	**2.8**	**7.6**	**58.8**	**27.8**	**3.0**
• **Is there an adequate range of sanctions available, if called for?**	**6.0**	**9.8**	**32.1**	**50.3**	**1.8**
• **Does follow-up occur based on review?**	**10.5**	**11.1**	**40.2**	**37.0**	**1.2**
Benefit:					
• Does review help with faculty reflection on accomplishments and directions?	12.3	30.0	32.9	24.6	.2

Faculty and administrator responses to procedural and process components differed significantly in a few areas. Administrators responded more positively than faculty that procedures were followed in a fair and consistent fashion; that review criteria were clear, applied fairly and followed in a consistent fashion and that outcomes were applied in a fair manner.

[4] University B's policy places the 'peer' review principally with the department chair. There is no formal role, per se, for peer review committees in the performance review. A university-wide committee of peers, the Faculty Evaluation Review Committee, is used in the appeal process only

Benefits and Problems

Faculty and administrators were invited to respond to a list of 18 potential problems and 18 potential benefits associated with the post-tenure review process. Respondents were asked to indicate the degree to which they viewed each as a benefit or problem.

Benefits

There were no areas seen as a **major** benefit by a majority of the respondents. Only one area as shown below was selected as holding **some** level of benefit. In this particular case, the number of respondents ascribing either major or minor benefit was more than indicated no benefit or inability to assess.

		% Major Benefit	% Minor Benefit	No Benefit	Too Early to Assess
•	Increases faculty accountability	11.3	30.1	38.0	20.6

In the case of all other options (as seen in following table), more respondents indicated that the proposed area was *not* a benefit than indicated it was a benefit:

	% Major Benefit	% Minor Benefit	↓ % No Benefit	% Too Early to Assess
• Improves collegiality	0.4	7.4	69.1	23.2
• Facilitates exchange of information which leads to professional collaboration	1.7	11.4	63.6	23.3
• Stimulates greater efforts in university citizenship	1.7	14.8	59.7	23.8
• Links departmental planning objectives with personal professional plans	2.5	12.7	58.9	25.9
• Provides opportunities for additional support for new professional directives	3.2	16.6	57.3	22.9
• Allows for comparison of standards for judging work areas unit lines	1.9	12.7	55.7	29.7
• Focuses attention on improvement of annual review procedures	3.0	18.4	54.2	24.4
• Stimulates greater efforts in professional service and outreach	3.6	19.9	53.5	23.1
• Encourages departments to consider different workloads for members	4.0	17.5	53.3	25.3
• Increases opportunities for mid- and late career transition planning	3.6	17.4	51.5	27.5
• Stimulates greater efforts in teaching	3.6	18.3	50.5	27.6
• Helps sustain senior faculty vitality	7.0	21.8	49.0	22.2
• Establishes a culture and expectation for continuous growth and development	9.3	26.5	44.2	20.0
• Increases public confidence in higher education	5.9	21.9	41.9	30.3
• Stimulates greater efforts in research	7.4	27.3	41.6	23.7
• Acts as a safeguard to tenure	11.1	20.5	40.9	27.5
• Forestalls further external interference	6.2	23.0	36.0	34.9

Using mean scores to rank responses, with a score of 1 denoting major benefit and a score of 3 denoting no benefit, results indicate that no major benefits are evident and minor benefit can be attributed principally to those things that might be viewed as 'external' in nature. The only exception to this is the affect of the review on research:

Minor Benefits	Mean Score
• Increases faculty accountability	2.34
• Acts as a safeguard to tenure	2.41
• Establishes a culture and expectation for continuous growth and development	2.44
• Stimulates greater efforts in research	2.45
• Forestalls further external interference	2.46

Factor analysis was conducted to categorize the benefits into meaningful groups. Using varimax rotation, three factors emerged: (1) the review as a stimulant to greater faculty effort in a particular area, (2) the review as a catalyst to the exchange and use of information and (3) the review as a means of fostering institutional outcomes.

Factor analysis results follow:

	Factors		
	1 Stimulates	2 Use of Information	3 Institutional Outcomes
Factor 1			
• Stimulates			
- greater efforts in teaching	.813		
- greater efforts in research	.754		
- greater efforts in professional service and outreach	.734		
• Helps sustain senior faculty vitality	.730		
• Stimulates greater efforts in university citizenship	.657		
• Increases faculty accountability	.589		
• Establishes a culture and expectation for continued growth and development	.530		
Factor 2			
• Links departmental planning objective with professional plans		.798	
• Facilitates exchange of information which leads to professional collaboration		.721	
• Allows for comparison of standards for judging work across unit lines		.672	
• Improves collegiality		.666	
• Focuses attention on improvement of annual review procedures		.644	
• Encourages department to consider different workloads for members		.578	
• Provides opportunities for additional support for new professional directives		.563	
Factor 3			
• Forestalls further external interference			.870
• Acts as a safeguard to tenure			.684
• Increases public confidence in higher education			.672

There was a strong significant difference in the response of faculty and administrators on two specific benefit statements. Administrators see a stronger benefit for post-tenure review in increasing opportunities for mid- and late career transition planning than do faculty. Likewise, administrators were more positive than faculty in seeing the benefit of post-tenure review in establishing a culture and expectation for continuous growth and development.

Problems

There were five areas chosen where the majority of the respondents indicated some degree of problem (either rating the statement as a major problem or minor problem):

	% Major Problem	% Minor Problem	No Problem	Too Early to Assess
• Insufficient funds to support *self-initiated* faculty development plans	43.8	17.6	11.6	27.0
• Insufficient funds to support *required* faculty development plans	42.1	16.7	11.8	29.5
• No positive change in performance of individuals over the long term	32.0	21.7	16.2	30.1
• Excessive paperwork	21.4	37.9	25.2	15.5
• Excessive time	20.6	37.1	26.5	15.9

There were four other areas where the majority indicated that the proposed area was **not** a problem:

	% Major Problem	% Minor Problem	↓ % No Problem	% Too Early to Assess
• Hampers faculty recruitment efforts	5.8	6.7	55.3	32.3
• Negative effect on risk taking and scholarly pursuit of controversial areas of inquiry	10.7	11.9	53.5	23.9
• Invasion of professional autonomy	6.7	15.5	51.9	26.0
• Erosion of confidence in tenure	12.3	17.2	49.6	20.9

While the responses to the other potential problem outcomes trend toward being seen as non-problematic; there is not a clear majority in any of the possible response choices.

	% Major Problem	% Minor Problem	% No Problem	% Too Early to Assess
• Erosion of collegiality	13.4	22.8	43.7	20.0
• Unevenness in application of criteria and standards within unit and/or across units	19.1	14.6	32.6	33.6
• Unreasonable demands placed on university to support faculty improvement plans	4.3	12.3	43.1	40.3
• Insufficient training for peers	21.2	21.2	23.4	34.1
• Insufficient training for chairs/department heads	22.1	22.5	25.5	29.8
• Erosion of faculty professionalism	12.7	15.5	45.4	26.5
• Prompts effective senior faculty to feel devalued	14.3	18.2	40.9	26.6

Using mean scores to rank and analyze responses, with a score of 1 representing a tendency toward a major problem and 3 representing no problem, results show three areas that tend to be seen as major problems—two of which relate to resources needed and one to the change in behavior expected. Nine areas can be categorized as minor, all of which relate to specific negative effects that the review process has on faculty work life and/or to some excessiveness and insufficiency associated with the process.

Major Problems	Mean
• Insufficient funds to support self-initiated faculty development plans	1.56
• Insufficient funds to support required faculty development plans	1.57
• No positive change in performance of individuals over the long term	1.77

Minor Problems	Mean
• Insufficient training for peers	2.03
• Excessive paperwork	2.05
• Insufficient training for chairs/department heads	2.05
• Excessive time	2.07
• Unevenness in application of criteria and standards within unit and/or across units	2.21
• Prompts effective senior faculty to feel devalued	2.36
• Erosion of collegiality	2.38
• Erosion of faculty professionalism	2.44
• Erosion of confidence in tenure	2.47

Factor analysis was conducted to categorize the problems into meaningful groups. Using varimax rotation, three factors emerged: (1) negative effect of review on faculty work life, (2) insufficiency of some form of resources and (3) excessiveness of paperwork or time.

Factor analysis results follow:

	Factors		
	1 Negative Effect on Work Life	2 Insufficient Resources	3 Excessive Time/ Paperwork
Factor 1			
• Erosion of faculty professionalism	.797		
• Invasion of professional autonomy	.758		
• Prompts effective senior faculty to feel devalued	.753		
• Negative effect on risk taking and scholarly pursuit of controversial areas of inquiry	.750		
• Erosion of confidence in tenure	.734		
• Erosion of collegiality	.698		
• Hampers faculty recruitment	.674		
• Unevenness in application of criteria and standards within unit and/or across units	.628		
• Unreasonable demands placed on university to support faculty improvement plans	.621		
Factor 2			
• Insufficient funds to support required faculty development plans		.853	
• Insufficient funds to support self-initiated faculty development plans		.814	
• Insufficient training for peers		.768	
• Insufficient training for chairs/department heads		.690	
• No positive change in performance if individuals over the long term		.543	
Factor 3			
• Excessive paperwork			.890
• Excessive time			.888

There was only one area where a strong significant difference existed between the responses of faculty and administrators. Faculty viewed the negative effect on risk taking and scholarly pursuit of controversial areas of inquiry as more of a problem than administrators did.

Effect on Pre-tenure and Tenure Review Practices

When asked if post-tenure review had affected the rigor of pre-tenure review and the rigor of tenure review practices, approximately 60% indicated that it has *not* affected the rigor in either of these practices, and about 25% said they were uncertain of the effects on both practices. The remaining respondents said it was too soon to assess this potential outcome.

Need for Improvement

Fully 62% of all respondents indicated that improvements could be made to the post-tenure review procedures to make the process more beneficial, effective, and/or constructive. Another 25% indicated they were uncertain about whether improvements were necessary, and 12% indicated they did not think improvements were warranted.

About 50% of these same respondents offered suggestions about the types of improvements that were needed. The recommendations fell into a small number of well defined categories:

1. Improvements to Strengthen Outcomes and Seriousness of Review

   By far, this was the area cited most frequently to be in need of improvement. Commentary suggested that greater attention was warranted to ensure follow-through and monitoring of the PDP and the overall process, especially on the part of the administration. Equally prevalent was the suggestion that the policy be given greater 'teeth' both in terms of sanctions invoked when improvement isn't forthcoming and in terms of rewarding excellence and high performance. Types of rewards mentioned were merit increments as well as other monetary and non-monetary incentives. The words of one respondent capture the comments expressed by many:

   > *"If they're going to do it, then they should be serious about it. As it is, it's just a meaningless exercise as far as I can tell. Also there are no rewards, just sanctions, so it's a 'no-win' game."*

2. Modifications to Procedures

   Three procedural aspects were cited most frequently. These included the need for clarification of criteria/standards used for evaluation; expansion of individuals involved in review process and inclusion of other types of evidence in the academic portfolio.

   Specifically, respondents see the need to better clarify review criteria, especially at the department level, and the need for greater consistency in application across departments. Mentioned almost as frequently was the desire that colleagues/peers (not only department chair) be involved in the review in order to give it greater import. There was no dominant suggestion for how to provide greater accuracy in the evidence, although the use of external reviewers was mentioned, as was the suggestion that the amount of paperwork be

streamlined.

3. Infrastructure Enhancements

Two areas of concern with respect to the infrastructure or systems supporting the policy surfaced with some regularity. The first related to the need for more information to be shared within the university and at the college/department level about the policy—its goals, timelines, and possible outcomes. The second concern was primarily one of resources and the apparent lack of resources to support faculty development, performance improvement and to reward excellence. Many respondents coupled the need for additional resources with the need to emphasize the possibility of the review resulting in a positive outcome for solid performers. As one faculty member wrote:

> *"There is a need for positive reinforcement, encouragement to do better and reward for excellence or improvement. This requires understanding and resources on part of department heads and administration."*

There were a total of 311 suggestions for improvements. The following table displays the suggestions cited most frequently by category and percentage of total response:

Suggestions for Improvements

			Total Responses
1. Outcomes and Improvement[5]			53%
• Recognize and reward excellence		22%	
◦ Merit			
◦ Salary step increase			
◦ Release time, grants, student assistance			
◦ Other incentives			
• Give greater teeth and seriousness to process		10%	
• Appropriate both sanctions and incentives (rewards)		10%	
• Ensure consistent oversight, feedback and follow-through		10%	
• Other		4%	
2. Procedural Modifications			22%
• Strengthen evidence—streamline process		9%	
◦ Reduce paperwork	3%		
◦ Use external reviewers	3%		
• Clarify performance/productivity standards/ criteria; apply criteria consistently across departments		7%	
• Use colleagues/peers in process		6%	
3. Infrastructure Enhancements			15%
• Provide more thorough orientation and information about policy (purpose, timelines, requirements, outcomes)		8%	
• Allocate additional resources to support development, improvement and incentive		6%	
• Other		1%	
4. Other			11%
• Eliminate policy	2%		
			100%

[5] Unweighted totals and percentages appear, some respondents gave multiple responses. Further, there may be overlap among these responses. For example, 'giving more teeth to the process' might also be interpreted as 'providing greater oversight'

University B—Specific Questions

Several additional questions were included on the survey that relate to specific aspects of University B's policy.

Desired Purpose for PTR

Respondents were asked to rank in order of importance what in their opinion the purposes of PTR **should be** at University B, with '1' constituting very important and '5' constituting not at all important. The following results were obtained:

Purpose	Mean
1. Assess individual performance to determine whether expectations/standards are met	1.63
2. Assess individual performance to identify and remedy deficiencies	1.83
3. Assess individual performance to reward excellence	1.98
4. Assess career development goals and establish plans for continued growth or reduction	2.27
5. Increase institutional effectiveness and responsiveness	2.45
6. Increase accountability to outside constituencies	3.14

It is of note that the responses to the question of what '**should be**' compared to the question earlier of '**what is**' reveal some interesting similarities and differences. The majority in both cases agrees that the most important purposes are first to review performance in order to assess if performance expectations are being met and second to identify and remedy deficiencies. However, using the review as a means to reward excellence is seen as an important purpose for such a policy as well. The policy as it currently exists is clearly *not* viewed as achieving this same outcome.

Parties to Assessment

There was clear agreement on who should be involved and who should not be involved in assessing performance during post-tenure review. Responses indicate that department colleagues, department chair, and the dean/director should all be party to assessing performance, whereas a national peer group should not.

Should the Following People Be Involved in Assessing Your Performance During Post-Tenure Review?

Individual	Yes	No
Department Colleagues	70.8	29.2
Department Chair	92.3	7.7
Dean/Director	75.9	24.1
National Peer Group	32.7	67.3
Other	21.1	78.9

Evidence of Performance

When asked what evidence should be included in the academic profile used as the basis of the post-tenure review, an overwhelming majority checked 'current curriculum vita' (94.5%) and 'student evaluations of teaching, if applicable' (79.4%). A majority also indicated 'evidence from peers' (56.0%) should be included.

About 18% of faculty and administrators offered suggestions for other types of evidence that should be included. Suggestions clustered around six areas of additional evidence (listed below in order of frequency mentioned). It should be understood though that it was not always clear from the response given whether the recommendation was to include actual samples of work in each recommended category or simply to discuss the scope and impact of the achievement in more detail.

Additional Evidence of Performance

Rank Order of Frequency	Evidence
1	Records of scholarship and professional contributions
	• Research products • Citations • Publications • Presentations
2	Self-evaluation, including statement of objectives and future goals
3	Grant activity
	• Grant writing • Grant funding
4	Letters/testimony from stakeholders
	• Graduate students • Peers
5	External review/recognition of accomplishment
	• Colleagues in field or profession
6	Community and university service and outreach

Assessment and Recognition of Excellence

Respondents were asked:

(1) whether tenured faculty review should assess and recognize excellence;
(2) whether their department currently has criteria for measuring excellence and,
(3) if their department does *not* have such criteria, whether they think the department would be willing to develop such criteria.

Overall, the results indicate that the majority of faculty and administrators believe that the review should assess and recognize excellence but that criteria for accomplishing this objective don't currently exist in most departments.

Two-thirds of the respondents said they believed their departments would be willing to develop such criteria, however.

Assessment/Recognition of Excellence	Yes (%)	No (%)	Not Sure (%)
• Should review assess and reward excellence?	77.8	10.4	11.8
• Does department have criteria for measuring excellence?	19.0	81.0	
• Would department be willing to develop such criteria?	65.6	34.4	

There were no significant differences between faculty and administrator responses to these campus-specific questions.

Appropriate Action

Almost 75% of survey respondents offered opinions regarding what should constitute appropriate action if a faculty member fails to meet the objectives laid out in the Professional Development Plan (PDP). Suggestions fell into four broad categories:

• **Consequential Sanctions**

Almost two-thirds of all respondents suggested that the next step should be disciplinary in nature—what might be categorized as a range of sanctions or 'sticks.' Termination as one of these possible sanctions was mentioned in about 58% of all such suggestions having to do with sanctions. Most discussed a range of consequences as depicted in the following comment:

"Probably a continuum of actions depending on analysis of deficiencies. Could include actions such as letters of censure but should be possible to impose tougher sanctions,

including such things as denial of sabbatical leaves etc."

- **Developmental Options only**

Another group of respondents, numbering a little more than 15%, suggested that 'appropriate action' should be developmental *only* in design—the carrot approach carrying no punitive connotation. This orientation was stated well by the following respondent:

> *"I see no benefit to punishment. In our department, it has done much harm. The outcome has been that nothing has changed in faculty performance. I don't believe threatening a faculty member will be motivational."*

- **Mixed Menu of Options: Sanctions or Development**

Still another group of respondents (13%) agreed that while there should be a range of 'next step options,' these options should be multipurpose, including *both* developmental and consequential sanctions. The individual circumstance would determine which is most appropriate. As one respondent commented:

> *"It would depend on the nature of the original 'deficiency,' the nature of the follow up and any intimidating factors concerning failure to meet the objectives. There is no one size fits all."*

Another said it this way:

> *"It depends on the specifics of the situation. Appropriate actions could range from providing greater assistance to dismissal."*

Another framed the need for many options like this:

> *"It should be individualized but, in general, firm but fair. The goal should be to maximize the professional output. Many carrots and sticks should be available."*

- **No Action**

Only 3% of all respondents believed the appropriate action was to do nothing.
A breakdown of the major 'next-step' categories follows, including the types of specific sanctions mentioned most frequently.

Rank in Order of Frequency	Categories of 'Appropriate Action' Action Suggested				% of Responses
1	**Specific** Sanction(s) Identified (usually 1–3 mentioned; termination **not** mentioned)			(84)	**20%**
	• Salary freeze or reduction		(34%)		
	• Workload modification[6]		(21%)		
	• Strong encouragement to resign/retire		(16%)		
	• Probation[7]		(16%)		
	• Demotion (rank)		(12%)		
	• Removal of resources (lab space, research support, sabbatical, etc.)		(8%)		
	• Other		(13%)		
	◦ Reprimand				
	◦ 'Demerits' from college				
	◦ No advancement				
2	Termination/Dismissal—Next Step--No other action cited			(74)	**17%**
3	Developmental Follow-Through/Formative Options **Only**			(65)	**15%**
	• Consultation/monitoring/mediation/ mentoring				
	• Resources/new PDP/re-review				
	• Reassignment to maximize strengths				
	• Reestablish criteria				
4	**Range** of Consequential Sanctions (specificity on type of sanction varied—emphasis was on need for a range rather than what range should include)			(65)	**15%**
	• Range mentioned termination	54	(83%)		
	• Range did *not* mention termination	11	(17%)		
	When cited, specific sanctions included (in order of frequency mentioned):				
	◦ Salary reduction/freeze/loss		(33%)		
	◦ Probation		(19%)		
	◦ Demotion		(16%)		
	◦ Revocation of tenure		(7%)		

[6]When discussing changes to workload, respondents either wished to see an increase in teaching (when research deficiencies were apparent) or an increase in some other expected responsibility.

[7]When an explanation for probation was offered, the explanation given by most was that the faculty member should either be put back into probationary status and be required to undergo tenure review again or that a probationary status was the step before dismissal-for-cause proceedings.

	• Reduction in support for travel, equipment, sabbatical	(7%)		
	• Other:			
	- Increase workload in one area			
	- Reprimand/warning			
	- Suspension			
5	**Range** of *both* developmental and consequential actions should be available and used depending on individual circumstance		(52)	**13%**
	• Termination *not* mentioned	(57%)		
	• Termination mentioned as last resort	(43%)		
6	Don't know		(37)	**8%**
7	Do nothing		(12)	**3%**
8	Other		(31)	**9%**
				100%

It is also essential to note that, on occasion, responses suggested that the union would need to be consulted about the imposition of progressively severe sanctions.

Statistical Correlation Analysis

A Pearson correlation matrix was created to determine those responses that correlated most highly with other responses in an attempt to gain insight into interactions among them. It should be noted, however, that correlations were not calculated for all items, and, in some cases, responses of 'no opinion' or 'too soon to assess' were treated as missing. Unless otherwise noted, all correlations presented below showed a significance level of $p < .01$ or $< .001$ or $< .05$ (two tailed).

Effectiveness of PTR

In examining how effective the PTR process is in achieving its primary purpose, we examined relationships between this item (Question 3) and others that focus on key policy components. In general, the more effective the review, the more positive were the respondents about key components. We found high, positive correlations between policy effectiveness and eight relevant individual procedural aspects: if possible outcomes are applied in a fair manner (.479); whether an adequate range of sanctions are available if called for (.428); if the review helps the faculty member reflect on past/present/future accomplishments and directions (.403); if possible outcomes from the review are clear (.378); if peer review committee members are trained appropriately (.391); if review procedures are followed in a fair fashion (.331); if the procedures are followed in a consistent fashion (.312) and if criteria are applied fairly (.311).

Impact of Review on Performance and Development of Faculty Members Within the Department

In looking at the impact of the review on the performance/development of faculty members within the department (Question 6), in general, we found the more positive the reported impact, the more likely the following six aspects were present: possible outcomes are applied in a fair manner (.494); the extent to which the review helps with faculty reflection on past/present/future accomplishments and directions (.394); review criteria are followed in a consistent fashion (.379); review criteria are applied fairly (.377); peer review committee members are prepared and trained appropriately (.342) and faculty appeal procedures are adequate (.336).

Impact of Review on Individual Performance

The more positive the reported impact of the review on individual performance (Q6), the more likely the following four outcomes were present: the review process establishes a culture and expectation for continuous growth and development (.451); helps sustain senior faculty vitality (.444); increases faculty accountability (.400) and stimulates greater efforts in research (.423). At the same time, the greater the impact, the less problems were noted, and the less positive the impact, the more major the problems noted. The major negative correlations on faculty performance and development were the extent to which it was seen as resulting in an erosion of faculty professionalism (-.432), an erosion of collegiality (-.347), leading to no positive change in performance over the long term (-.331) and where there was insufficient training for chairs and department heads (-.314).

Benefit to Impact on Work of Faculty

When asked about how beneficial the process was to the work of a faculty member (Question 10), we found several strongly positive relationships. In general the more beneficial to faculty work the process is, the more positive the view of the following benefits: benefit of process as a stimulant for greater efforts in teaching (.491) and in research (.410); benefit from establishment of a culture and expectations for continuous growth and development (.466); as a way to help sustain senior faculty vitality (.453) increase faculty accountability (.411) and provide increased opportunities for mid- and late career transition planning (.389).

Likewise, the more beneficial the process to faculty work, the less negative were respondents about problems associated with the review. Three relevant negative correlations were found, where the more positive respondents felt about the benefits of the process, the less likely they were concerned about erosion of confidence in tenure (-.209); invasion of professional autonomy (-.214); erosion of faculty professionalism (-.228) or no positive change in performance of individuals over the long term (-.226).

Processes, Procedures, and Outcomes

When examining the 18 different components of the post-tenure review process, several themes of interest emerge, including (1) procedures, (2) criteria, (3) outcomes and follow-up. There is a high degree of correlation among procedures being followed in a fair fashion and in a consistent fashion (.812). Likewise, a strong correlation exists between procedures being followed in a fair fashion and criteria being applied fairly (.790) and followed consistently (.765). When looking at outcomes, the fact that outcomes are applied in a fair manner is strongly correlated with review criteria being followed in a consistent fashion.

In general then, fairness and consistency of procedures is most highly correlated with fairness and consistency of criteria (.733).

Department Chair and Dean's Role

Understanding the department chair's role (Question 16j) in the process was highly correlated with understanding of the dean's role (Question 16k) (.64). Understanding about these roles was also highly correlated with procedural clarity, fairness and consistency (.61).

Senior Faculty Vitality

In looking at whether post-tenure review sustains senior faculty vitality, we found this to be highly correlated with the opinion that the review helps to establish a culture and expectation for continuous growth and development (.68); increases faculty accountability (.68); stimulates greater efforts in teaching (.62) and stimulates greater efforts in research (.60).

D. Discussion of Results Across Respondent Groups: Interviews, Focus Groups, and Surveys

Analysis of all data collected from quantitative and qualitative sources leads to some general conclusions.

Purpose and Goals of Post-Tenure Review

Participants in the qualitative part of the study perceived a variety of purposes and goals for post-tenure review. The most frequently cited purpose was accountability. Members of the Faculty Evaluation Committee felt that the purpose of the review was to keep faculty productive. Department chairs said the purposes of post-tenure review were to strengthen the faculty, to improve faculty performance, and to weed out non-performing faculty members. The deans and directors also referred to getting rid of non-performers as one of the primary goals of post-tenure review.

Although some common themes emerged on the purposes and goals of post-tenure review it is clear that some view its purpose as punitive while others highlight developmental aspects.

We also note that participants pointed out differences between the ***stated*** purposes and the ***actual*** purposes. The stated purposes of post-tenure review as presented in University B documents read as follows: (1) Assure the best use of professional staff resources; (2) Recognize excellence and provide incentives for superior performance; and (3) improve performance. The interview participants for the most part indicated that these purposes were not being met as originally intended.

Survey results suggest that while the majority of faculty and administrators indicate some level of familiarity with the policy, administrators are considerably better informed about the university's post-tenure policy than faculty. Additionally, a majority of the respondents indicated that they thought the policy had multiple purposes rather than one primary objective. The two most frequently mentioned purposes were (1) to review performance to assess if performance expectations are being met (77% of respondents) and (2) to assess individual performance to remedy deficiencies (58% of respondents).

The survey probed further as to what respondents believed the desired purpose of post-tenure review should be. While the accountability objective ("assess individual performance to determine whether expectations/standards are met') was ranked as the most important, the improvement and reward objectives followed very close behind in importance.

Conclusion:

Study participants identified several purposes for post-tenure review and there does not appear to be a consensus. However, the most often cited purpose was accountability. Study participants also voiced the opinion that the policy should also include the objective of reward.

Policy Effectiveness

Viewed from the perspective of faculty, deans, chairs, and union members the policy is not effective in achieving its intended purpose. One criticism is that the policy was intended as a tool to develop poor performers and a tool to reward high performers. Another one is that the policy lacks "teeth." Apparently the policy was most effective when it was first implemented and a group of senior faculty chose early retirement rather than undergo post-tenure review. The policy's lack of effectiveness seems to be related to lack of leadership among academic administrators, lack of resources, and possibly the decision-making processes of a unionized campus. With regard to leadership, participants pointed out that individuals whose post-tenure review is judged satisfactory (the great majority) rarely ever receive any feedback from their chairs or deans. Members of the faculty review committees also complained about the lack of feedback. We were not made aware of any innovative approaches being used to implement post-tenure review at the departmental or school levels. The absence of leadership in the implementation of post-tenure review may be related to the chairs' being considered faculty by the collective bargaining agreement thus constraining their formal authority. Deans complained that their involvement in the post-tenure process is fairly limited.

The results of the survey also indicate that slightly more than half of the faculty and administrators (54%) view the policy as "not that effective" or "very ineffective." The reasons revealed for the policy's ineffectiveness corresponded to those identified by interviewees, e.g., "little evidence of positive outcomes" (55%), "review is not taken seriously because there are no sanctions (51%) or because there is no significant follow-up action to the review (50%).

Conclusion:

There seems to be general agreement among faculty and administrators that the policy is not effective.

Tangible Results: Development and Outcomes

The overall perception was that there were very few tangible results from the post-tenure review process. Very few faculty received feedback from their chair or dean. Those who received notes of congratulations were appreciative. Most of the results mentioned were of an intrinsic nature, e.g., the act of putting one's dossier together provides an opportunity to reflect on accomplishments and future directions.

Members of the faculty evaluation committee were not able to identify any tangible outcomes because they were not provided with information on the outcomes of cases they were asked to review.

The chairs and deans also complained about the absence of tangible results, particularly in "getting rid of deadwood." In contrast, the union leaders claim that the policy has been effective in encouraging non-performers to leave, and also to reallocate workloads based on proficiencies. It should be noted that the union leaders were the only ones who believe the policy was effective in this way.

Survey data showed by almost a 2 to 1 ratio that more respondents said post-tenure review was not beneficial to faculty work then said it was beneficial. Although 37% indicated neutrality on this question. Administrators were slightly more positive in their response than faculty.

Conclusion:

Other than the intrinsic results mentioned by a small number of faculty the interviews did not reveal any tangible results that could be associated with the post-tenure review policy. The survey results indicate that administrators are more likely to view post-tenure review as beneficial than faculty but this difference was not evident in the interview data.

Impact on Department

Participants were more inclined to focus on the different approaches to post-tenure review used by departments than the impact it has on the department. Some participants identified negative impacts on the department, e.g., that the lack of consequences for poor performers hurts the department. A serious concern expressed by faculty and chairs is that post-tenure review, as currently implemented, does not give them a tool to deal with some of the most serious problems that might impact faculty performance (e.g., alcoholism, drug abuse).

Survey responses also indicated that the majority (54%) of respondents hold neutral opinions about the impact of the review on the department. Administrators as a group were more positive than faculty about impact.

Worth the Time and Effort?

Despite the numerous complaints about the system, faculty participants felt that the post-tenure review should be retained because it serves a useful purpose for some faculty and that in principle it was good for the university as a whole. Therefore, one might conclude that faculty feel it is worth the effort. Similarly, the majority of union officials did not want to get rid of it, nor did members of the Faculty Review Committee. The chairs were more uncertain about keeping post-tenure review and whether it was worth the effort. Some felt that as long as the policy had no "teeth" it was a waste of time; others felt that the preparation required for post-tenure review was helpful to professors. On the other hand, deans did not feel that post-tenure review as currently practiced was worth the time and effort. The Office of the Senior Vice President felt that there is little enthusiasm for the current process and like the faculty, chairs, and deans mentioned that the professional development aspect of the policy has been lost.

The survey revealed that respondents were almost evenly divided in their perspectives about the process being worth the time and effort. One-third thought that post-tenure review was worth retaining, one-third felt it was not worth the effort because the costs outweighed the benefits and another third were unsure.

Conclusion:

Surprisingly, faculty felt that post-tenure review despite all its problems should be kept primarily because it has the potential to be a useful tool for professional development and personal reflection. Deans and chairs were much more skeptical and seemed more inclined to say that post-tenure review is not worth the effort.

Procedures and Processes

Interview participants identified a variety of problems with the procedures and processes, the most frequently cited being: lack of a uniform format, unclear standards; processes and expectations unclear; no feedback; varying interpretations about the procedures.

A major complaint about the processes had to do with the evaluation of teaching. The process was seen as being more focused on research than on determining the effectiveness of teaching. Another weakness in the procedures and processes is that the evaluation is completely disconnected from the University's strategic plan.

Many of the complaints about procedures and processes appeared to be related to poor campus wide communication and an absence of "community."

Survey respondents were generally more favorable in their assessment of the clarity and fairness of both review procedures and the criteria used than with all other aspects. Respondents also indicated that documentation required is manageable and that in general the department chair and dean's roles are understood. Faculty and administrator responses to procedural and process components differed significantly in a few areas. Administrators responded more positively than faculty that procedures were followed in a fair and consistent fashion; that review criteria were clear, applied fairly, and followed in a consistent fashion and that outcomes were applied in a fair manner. There was overall agreement that an adequate range if rewards and development opportunities are not available and that follow-up is lacking.

Conclusion:

The faculty participants interviewed were critical of the procedures and processes while the deans and chairs were more positive. However, the results of the survey did not reveal any great dissatisfaction with the procedures and processes. The absence of a trustworthy approach to evaluate teaching, the lack of agreement on procedures and processes, and the lack of feedback and an adequate range of rewards and development opportunities were a major source of dissatisfaction with the implementation of post-tenure review.

Benefits of Post-Tenure Review

The only on-going benefit that faculty associated with the post-tenure review policy was that it provides a structured opportunity to reflect on their work. Another earlier, benefit was that when it was first implemented it encouraged a not insignificant number of early retirements. The chairs recognized that the process has potential benefits for the department such as facilitating the assignment of workloads and as a source of information to assess departmental effectiveness. However, other than acknowledging that post-tenure review could be useful at the departmental level there was no evidence that this was in fact taking place.

The survey results revealed that there were no areas seen as a major benefit by a majority of the respondents. Respondents were asked to rate 18 potential benefits of the policy and just about all were ranked by half or more of the respondents as having no benefit. The item that had the

highest proportion of respondents (41%) identifying it as somewhat of a benefit of the policy was "increases faculty accountability." The overwhelming majority of respondents said that the policy was not beneficial for "improving collegiality," "facilitating the exchange of information which leads to professional collaboration," "linking departmental planning objectives with personal professional plans," "encouraging departments to consider different workloads for members," and "stimulating greater efforts in teaching," "stimulating greater efforts in university professional service/outreach and citizenship"; "providing opportunities for additional support for new professional directives"; or "allowing for comparison of standards for judging work across unit lines."

Conclusion:

Participants identified potential benefits, none of which are being reached, in great part because it seems that chairs, deans, and other administrators have not been able to explore a more strategic implementation of the policy to achieve more desirable results, e.g., connecting post-tenure review to departmental, college, or university initiatives; learning more about the work of individual faculty and using that knowledge to foster more collaborative work, identifying undiscovered synergies among people; identifying areas for professional development, etc.

Senior Faculty Vitality

The survey results showed that administrators see a stronger benefit for post-tenure review in increasing opportunities for mid- and late career transition planning than do faculty. Likewise, administrators were more positive than faculty in seeing the benefit of post-tenure review in establishing a culture and expectation for continuous growth and development. The survey showed that about 49% of the respondents did not see the post-tenure review policy as having any benefit for fostering senior faculty vitality.

Problems

The interviews with faculty, chairs, deans, union leaders, and Senior Vice President's office surfaced numerous problems reflecting concerns with the process, resources, procedures, and outcomes as well as the impact on relationships among colleagues.

The survey revealed three major problems. Two of these had to do with the lack of resources to support faculty development plans, whether the plan is initiated by the faculty member or it is required as a result of a negative post-tenure review. The third major problem is that post-tenure review is not viewed as having a positive effect on the performance of individuals over the long run. At the same time a majority of respondents did not view the policy to be problematic to faculty recruitment efforts; risk taking and scholarly pursuit of controversial areas of inquiry; as an invasion of professional autonomy, or eroding confidence in tenure.

Conclusion:

The post-tenure review policy appears to be plagued with problems.

Improvements:

Recognizing that problems exist and that the majority stated that post-tenure review should not be abandoned, interviewees and survey respondents offered many suggestions for ways to improve the process. In general, these recommendations fall into some well defined categories for action: (1) improvements to strengthen outcomes and seriousness of review; (2) modifications to procedural aspects including clarifying criteria/standards and providing peers with a greater role; and (3) infrastructure enhancements especially the need for increased resources to support improvements, faculty renewal and superior performance as well as the need to share more information about, goals timelines and outcomes of the policy within the university community and at the unit level. Data from the survey provide further guidance on specific desired procedural components.

Desired Procedural Components

Parties to assessment

During the survey portion of the study, input on several procedural components were queried.

The interviews indicated some confusion and dissatisfaction with who is involved in the post-tenure performance assessment. When asked who should be involved there was overwhelming agreement that the department chair (92%) department colleagues (71%) and the dean/director (76%) should play a role. It was clear that the majority did not favor giving a national peer group a role in the process.

Evidence of Performance

Interviews also suggested that variation existed across units with respect to what evidence should be included in the academic profile. Survey respondents overwhelmingly supported a current CV (95%) student evaluations of teaching, if applicable (79%) and to a lesser degree evidence from peers (56%).

Assessment and Recognition of Excellence

Interviews and focus groups highlighted the fact that the policy as practiced did not include a reward component, even though in theory this is an intended objective.

The survey revealed that the majority of faculty and administrators believe the review should result in recognition and reward but that the criteria for measuring excellence don't currently exist in most departments. Two thirds believe their departments would be willing to develop such criteria.

Parameters for Appropriate Action

The quantitative data from this study point to the lack of adequate follow-up and a frustration that effective action when needed is not forthcoming. Survey respondents were invited to offer opinions about what should constitute appropriate action if a faculty member fails to meet the objectives laid out in the professional development plan (PDP). The majority of suggestions fell into the category of consequential sanctions or "sticks" and included a range of options anchored on one end with termination and on the other with varying degrees of what might be called punitive sanctions including salary freeze or reduction, workload modification, probation, demotion, removal of resources etc.

Conclusion:

Improvements and changes are needed to make the post-tenure review process effective, beneficial and valued.

E. Implications and Recommendations for Policy and Practice

Some common themes emerged around many aspects of the post-tenure policy at University B from the faculty and administrators who were interviewed and surveyed.

1. Overall the purpose and goals of the post-tenure review policy were perceived to be as a tool for accountability, both internally and externally, a vehicle to dismiss "deadwood" faculty, and an opportunity to motivate the faculty. Another strong theme was that the review process had strayed from its original, developmental and formative roots and had become a summative process focused on identifying deficiencies. This perception may be due, at least in part, to the fact that there has been no professional development money available since the second year the policy was implemented nor have there been merit awards or salary increases for some time.

2. Only three of the faculty felt that their post-tenure review experience had directly impacted their own, individual work. While many felt that it was helpful to reflect on one's own work every five years and to take stock, they did not feel it had a significant impact on a faculty member's individual work. The chairs and deans in particular felt there was little or no impact because the process has "no teeth" and, therefore, cannot impact individual performance.

3. Very few tangible outcomes were associated with post-tenure review-- positive or negative outcomes.

4. Post-tenure review has little impact on the departments. It can affect the relationships among faculty members and the chairs, and it can impact the distribution of workload. The hiring freeze that the departments are dealing with is certainly a factor that may inhibit the potential impact this policy could have.

5. Despite its many shortcomings, the majority of the faculty and administration interviewed felt that the process was worth the effort and should be kept in place at University B. It is better to have a process, even one that is not operating at optimum levels, than to have no process at all.

6. Four major problems with post-tenure review emerged. The lack of positive incentives or rewards built into the review was seen as problematic. And, on the other side, the lack of consequences for those who are found unsatisfactory is also problematic. Many felt that the review is implemented differentially across campus both in method and rigor. Finally, the lack of resources available for professional development seemed to render the process defunct.

7. Three benefits were associated with post-tenure review overall. First, it was seen as beneficial both for the individual and for the institution to engage in periodic reflection on the work being done in the institution. This reflection could also result in proof to external constituencies that the faculty continues to do an appropriate level of work. And, the policy has resulted in a number of early retirements that has benefited the institution overall.

8. One major problem that seemed to pervade the interviews was the extreme fiscal stress the university was operating under and the resulting lack of merit rewards. The post-tenure review process is certainly affected by this because the professional development funds have run dry. This would certainly inhibit one's ability to improve. And, why should a satisfactory or excellent faculty member engage in a process that holds no potential for any kind of incentive or reward? While the state of fiscal stress the university is facing is not directly tied to the post-tenure review, it certainly impacts the process and affects the university community's perception of it.

9. Faculty and administration recognize that changes are necessary to bring the policy back to its original objective. Most want the process to be strengthened in considerable ways. Suggestions for this improvements cluster into three broad areas and reflect some consistent ideas about: resources; rewards and sanctions and modifications to procedural components.

Recommendations to Improve Policy Effectiveness

Recommendations by Project Team

1. The review process would be strengthened by the administration clarifying and making public how post-tenure review is implemented across the campus. Procedurally, the review process should be consistent across departments while the specific expectations may vary widely between departments and disciplines. It would be beneficial for the general understanding of the policy as well as for the campus community for those faculty in the English department, for example, to know how those in the math department are being reviewed.

2. The administration should make the self-report on post-tenure review widely known and shared. They should also publicize how the policy has changed and evolved over the years and why. It is clear that the faculty feel that they have been left out of the conversation on post-tenure review and that it is something that has been imposed upon them. In the interest of shared governance, bringing the faculty in on the conversation and sharing this information with them would be a great improvement. This conversation should explore the role of faculty performance evaluation, what purpose the evaluation plays for post-tenure faculty and "call the question" of how to revamp the entire process in order to achieve desired ends.

3. The faculty of University B want to create a more collegial post-tenure review process, which involves more than the chair of the department. This can be achieved in many different ways, and the faculty should be invited to help create these changes. Greater involvement and expanded membership on Faculty Evaluation Review Committees may be a starting point. Or, the administration might ask the Academic Senate to evaluate the post-tenure review policy and suggest ways to make it a more collegial process. Strong support for expanding the role of peers was expressed. Further, faculty expressed the opinion that their department would be willing to develop criteria for measuring excellence so that a reward component might be actualized. Many suggestions were offered with respect to what evidence should be expected at the time of the review, what types of 'appropriate action' might be taken when excellence as well as deficiencies are revealed and what is necessary in order to give 'meaning' to the review.

4. One section of the review should include a future orientation in which the faculty member can set goals and plan for the next five years. A narrative self-evaluation component should also be included to complement the list of achievements. How does the faculty member feel about his/her accomplishments and how will he/she spend the next five years of his/her professional life?

5. Opportunities for recognition and rewards must be built into the review. This would serve to motivate the faculty to a greater degree because there are potential benefits involved. This would also help to make post-tenure review focus both on strengths and improvements.

6. The administration and/or deans and directors must find resources to commit to faculty development and rewards associated with the post-tenure review. This is especially critical in a time of fiscal stress when there are no merit awards unless the university wishes to retain a faculty member who has a written offer for employment from another institution. These funds would also lend credibility and integrity to the review process. The university will essentially put its money where its mouth is and deliver on the original intents and promises of the policy.

7. Department chairs, deans, and faculty review committees need to be trained on how to conduct the performance reviews. The roles and responsibilities of each group should be clearly delineated. Departments and or schools that are doing this well should be asked to participate in the training.

8. Post-tenure review could be used as a vehicle to create a cohesive campus community with a shared mission and vision. By strengthening the meaning of the post-tenure review process, applying it consistently across departments, and inviting all faculty to be a part of improving the process, the policy could become a great asset.

Concluding Comment

We would be remiss if we did not comment on how our findings compare with University B's "**Ten-Year Assessment Report: 1987-97**".

In general our study validates many of the findings and conclusions presented in that report. Specifically:

1. Both studies affirm that the post-tenure review policy as practiced focuses primarily on the accountability objective (deficiencies and remediation) and fails to give meaning and apply energy to the thrust for professional development and reward.

2. Both affirm that academic freedom and tenure are not directly threatened by the review process as currently experienced within the university.

3. Both suggest that one of the key hindrances to the evaluation system is its lack of carrots and sticks.

4. Both confirm that faculty and administrators support post-tenure review in theory but not necessarily as practiced in University B.

   In fact, our findings indicate very strong opinion by faculty and administration that current practices are not effective or beneficial to faculty work. Findings from the ten-year study were more mixed on this issue of impact. Our study does however, directly suggest that regardless of the impediments and shortcomings, faculty and administrators do **not** want to abandon this review.

5. Both recommend improvements to strengthen the policy and the manner in which it is implemented. Recommendations noted in both studies include the need for:

   a. More shared responsibility for review vis-'a-vis additional peer involvement

   b. Clarifying and strengthening the relationship between rewards and consequences and providing resources to accomplish both.

Appendix A

American Association for Higher Education
New Pathways II
Post-Tenure Review Outcomes Study Protocol
Focus Group Questions

Questions for Chairs, Deans and CAO

1. Please describe the purpose and goals of "post-tenure review" as you understand them at your university. Has post-tenure review achieved its goals? Why or why not?

2. Does the post-tenure review process fit (or not fit) within the larger institutional system of reward, professional development and improvement? With which other campus practices is it connected?

3. Have you noted any changes in faculty performance because of the post-tenure review process? If so, please describe. If not, why do you think there has been little or no impact?

4. How would you characterize your time involvement in the process?

5. In your opinion and from your experience is post-tenure review worth the effort? Why or why not?

6. If university policy has a peer review component, ask: Is peer review component effective? Why or why not?

7. What kinds of resources and types of tangible opportunities for development and improvement are most frequently provided (list example)?

8. Have resources been sufficient?

9. Some report problems with post-tenure review; while others do not. Where do you fall along this continuum? Please explain.

10. Likewise, some see benefits and others do not. To whom and in what ways is post-tenure review most and least beneficial? Probe this: From your experience, how, if at all, has the nature of faculty work (including collaborative work and work to advance department and institutional goals) changed as a function of post-tenure review?

11. What improvements do you think could be made in the process to enhance its effectiveness and benefit to the individual and the institution?

12. As a chair (Dean) is there any kind of support, guidance, skill building or help that would enable you to deal more effectively with the post-tenure review process?

13. Are there other perspectives or points you'd like to make before we conclude?

14. Deans Only:

What is your role as a Dean in the process?

(a) What do you do to ensure that the post-tenure review process is consistently followed across departments and divisions?
(b) Is the Dean's role in the process clear and appropriate?

[If deans don't mention (a) and (b) above then say: One of the things we've learned is that a common role for deans is to ensure consistent follow-through across departments/units. What has been your experience?

American Association for Higher Education
New Pathways II
Post-Tenure Review Outcomes Study Protocol
Individual Interview Questions

For all interviewees: Faculty

1. Please describe the purpose and goals of "post-tenure review" as you understand it at your university.

2. In your opinion, does the post-tenure review process fit (or not fit) within the larger institutional system of reward, professional development and improvement? With which <u>other</u> campus practices is it connected?

3. Describe your own experience with post-tenure review -- including the tangible results and actions that followed.

[Use following questions only if person doesn't address these areas in their response to question 3]:

3a. What was your reaction to the substance of the review, i.e., the criteria/standards used and the documentation required for the review--are they clear? Too quantitative? Too qualitative? Are faculty appropriately involved in shaping the criteria and setting standards?

3b. (If a professional improvement plan has been required):
- Tell me about how the plan was developed. What was helpful about it and what was (is) problematic about it?

- Do you think the professional developmental plan process accomplished what it was supposed to do?

- How did you feel when it was resolved/completed?

---

4. Please describe the activities and amount of preparation you have invested in your own post-tenure review.
   - How much time (in terms of total hours) do you estimate is required in preparation?

   - Was it worth the effort? Please explain using specific examples to illustrate your experience.

5. Some faculty report that post-tenure review has impacted performance of departmental colleagues...others report it has not. What is your perception about this in terms of faculty within your department? If possible, please explain providing specific examples.

6. Some faculty report problems with post-tenure review, others do not. Where do you fall along this continuum? Please explain.

7. Likewise, some faculty see benefits and others do not. Where do you fall along this continuum? To whom and in what ways is post-tenure review most and least beneficial?

8. What improvements do you think could be made in the process at your institution to enhance its effectiveness and benefit to the individual and the institution?

9. Restate purpose of study and ask for any additional thoughts. Are there other perspectives or points you'd like to share with me regarding post-tenure review before we conclude?

American Association for Higher Education
New Pathways II
Post-Tenure Review Outcomes Study Protocol
Focus Group Questions

Questions for Union Leaders

1. Please describe the purpose and goals of "post-tenure review" as you understand it at your university.

2. In your opinion, does the post-tenure review process fit (or not fit) within the larger institutional system of reward, professional development and improvement? With which <u>other</u> campus practices is it connected?

3. In your opinion, how effective is the process in achieving the goals (cite examples).

4. What types of changes in performance or overall impact have occurred as a result of the policy?

5. In your opinion, has post-tenure review been worth the effort? Why or why not?

6. Some faculty report problems with post-tenure review, others do not. Where do you fall along this continuum? Please explain.

7. Likewise, some faculty see benefits and others do not. Where do you fall along this continuum? To whom and in what ways is post-tenure review most and least beneficial?

8. What improvements do you think could be made in the process at your institution to enhance its effectiveness and benefit to the individual and the institution?

9. Restate purpose of study and ask for any additional thoughts. Are there other perspectives or points you'd like to share with me regarding post-tenure review before we conclude?

American Association for Higher Education
New Pathways II
Post-Tenure Review Outcomes Study Protocol
Focus Group Questions

Questions for Peer Review Committee Members

1. Please describe the purpose and goals of "post-tenure review" as you understand it at your university.

2. How would you describe your role in the process?

3. Did you feel prepared and equipped to perform this role?

4. In your opinion, were you successful in carrying out this role? Why or why not.

5. What problems or challenges, if any, did you experience in your role as a peer reviewer?

6. What benefits, if any, did you experience in your role?

7. How would you describe the time required to carry-out your responsibilities?

8. Was it worth the effort? Why or why not?

9. From your experience as a member of a peer review committee, was the process effective in meeting its goals? Why or why not?

10. What improvements do you think could be made to the process to enhance its effectiveness and benefit?

11. Are there other perspectives or points you'd like to share before we conclude?

Appendix B

American Association for Higher Education

New Pathways II Project

Post-Tenure Review Outcomes Survey

This survey has been developed by the American Association for Higher Education (AAHE) as part of its work to assess the outcome and impact of post-tenure review on faculty, departments and institutions. Your careful response to these questions will help us reflect the opinions of faculty and administrators on this topic. We ask that you respond to these questions based on your own understanding and experience with post-tenure review at your institution. Please feel free to briefly elaborate on any of your responses.

We value your perspectives and are most grateful for your participation.

Instructions

Please circle the number that best reflects your opinion.

1. How familiar are you with your institution's policy for the review and/or development of tenured faculty? (Referred to in this survey as: ***post-tenure review***)

   1 Very familiar
   2 Somewhat familiar
   3 Not very familiar with policy
   4 Not at all familiar with policy
   5 Other (*please elaborate*) _____

   _____

2. As you understand it, what **is** the purpose for post-tenure review at your institution? *(circle all that apply)*

   1 Review performance in order to assess if performance expectations are being met
   2 Assess individual performance in order to reward excellence
   3 Assess individual performance in order to remedy deficiencies
   4 Assess career development goals and establish plans for continued growth or redirection
   5 Increase institutional effectiveness and responsiveness
   6 Increase accountability to outside constituencies
   7 Other *(please specify)*_____

3. How effective do you think the post-tenure review process is in achieving its primary purpose at your institution? *(circle one)*

   1 Very effective
   2 Somewhat effective
   3 Neutral
   4 Not that effective
   5 Very ineffective
   6 Too soon to know
   0 No opinion

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4. If you circled 4 or 5 in question #3, what is the major reason for this response? (*circle all that apply*)

1 Post-tenure review has shown little evidence of positive outcomes so far

2 Post-tenure review is not taken seriously because peers are unable or unwilling to constructively criticize each other—so no one knows if performance improvement is needed

3 Post-tenure review is not taken seriously because there is no significant follow-up action to the review

4 Post-tenure review is not taken seriously because there are no resources for faculty development or improvement

5 Post-tenure review is not taken seriously because there are no sanctions for poor performance

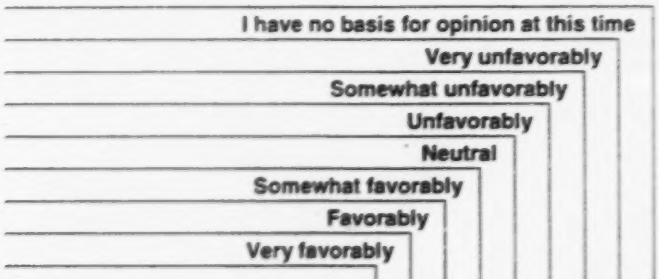
6 Post-tenure review is unnecessary because tenured faculty are capable of maintaining their effectiveness without this particular process

7 No information is released so I don't know how post-tenure review is being implemented

8 I have not yet been evaluated under the current policy at my institution so I am unable to make a personal judgment

9 Other *(please elaborate)*_____

_____



5. In your opinion, how favorably is the post-tenure review process viewed by members of your immediate department (or academic unit)?

a. Tenure-track (probationary) faculty	1	2	3	4	5	6	7	8
b. Tenured faculty	1	2	3	4	5	6	7	8
c. Department Chair	1	2	3	4	5	6	7	8
d. Dean / Director	1	2	3	4	5	6	7	8
e. Students	1	2	3	4	5	6	7	8
f. Professional staff	1	2	3	4	5	6	7	8

6. What is your general opinion of the impact of the post-tenure review on the performance and/or development of faculty members within your immediate department? *(circle one)*

Highly Positive Impact	Somewhat Positive Impact	Neutral	Somewhat Negative Impact	Highly Negative Impact	Too soon to Know	No Opinion
1	2	3	4	5	6	7

7. If you circled 4 or 5 in question #6, what is the major reason for your response?

_____

_____

8. Have you been reviewed according to your institution's post-tenure procedures?

   1 Yes How many times? _____
   2 No *(please skip to question 16)*

9. If you have been reviewed, what was the overall result of your review? *(circle one)*

   1 My work was assessed as meeting or exceeding expectations—no other outcome
   2 My work was assessed as meeting or exceeding expectations and a professional career plan was developed as a normal part of review process
   3 My work was assessed as meeting or exceeding expectations and I was rewarded accordingly
   4 My work was assessed to be in need of improvement and professional plan was required and developed
   5 Other *(please elaborate)*_____

   _____

10. What is your general opinion about how beneficial the post-tenure review process already is to your work as a faculty member? *(circle one)*

Very Beneficial	Mostly Beneficial	Neutral	Slightly Beneficial	Not Beneficial	Too soon to Assess	No Opinion
1	2	3	4	5	6	0

11. If you circled 1 or 2 in question #10, what is the greatest benefit of post-tenure review to your work?

_____

_____

12. If you checked 4 or 5 in question #10, what is the greatest drawback (hindrance) of post-tenure review to your work?

_____

_____

13. What is your opinion about how beneficial the post-tenure review process is to your professional/personal career development and planning? *(circle one)*

Very Beneficial	Mostly Beneficial	Neutral	Slightly Beneficial	Not Beneficial	Too soon to Assess	No Opinion
1	2	3	4	5	6	0

14. If you checked 1 or 2 in question #13, what is the greatest benefit of post-tenure review to your career planning and development?

_____

_____

15. If you checked 4 or 5 in question #13, what is the greatest drawback (hindrance) of post-tenure review to your career planning and development?

_____

_____

	Yes	Somewhat	No	Insufficient experience to know	Not applicable to my institution's policy
16. From your direct experience with post-tenure review within your academic department/unit, please respond to the following questions regarding different components of the review:					
a. Is the process widely known and well understood?	1	2	3	4	5
b. Are the procedures clear?	1	2	3	4	5
c. Are the procedures followed in a fair fashion?	1	2	3	4	5
d. Are the procedures followed in a consistent fashion?	1	2	3	4	5
e. Are the review criteria clear?	1	2	3	4	5
f. Are the review criteria applied fairly?	1	2	3	4	5
g. Are the review criteria followed in a consistent fashion?	1	2	3	4	5
h. Is the documentation prepared by the faculty member manageable?	1	2	3	4	5
i. Are the peer review committee members (if appropriate to your policy) prepared and trained appropriately?	1	2	3	4	5
j. Is the department chairperson's role in the process clearly understood?	1	2	3	4	5
k. Is the dean's role in the process clearly understood?	1	2	3	4	5
l. Are the faculty appeal procedures adequate?	1	2	3	4	5
m. Are the possible outcomes from the review clear?	1	2	3	4	5
n. Are the possible outcomes from the review applied in a fair manner?	1	2	3	4	5
o. Is there an adequate range of rewards and development opportunities available following the review?	1	2	3	4	5
p. Does the review help with faculty reflection on past/present/future accomplishments and directions?	1	2	3	4	5
q. Does follow-up occur based on the review?	1	2	3	4	5
r. Is there an adequate range of sanctions available following review if called for?	1	2	3	4	5

17. In your opinion, what **should be** the purposes of post-tenure review at the University of Hawaii at Mānoa? *Please rate each item 1-5 according to the following scale:*

Very Important				Not at all Important
1	2	3	4	5

_____Assess individual performance to determine whether expectations/standards are met

_____Assess individual performance to reward excellence

_____Assess individual performance to identify and remedy deficiencies

_____Assess career development goals and establish plans for continued growth or redirection

_____Increase institutional effectiveness and responsiveness

_____Increase accountability to outside constituencies

18. Should the following people be involved in assessing your performance during post-tenure review?

	Yes	No
a. Department Colleagues	1	2
b. Department Chair (or equivalent)	1	2
c. Dean/Director	1	2
d. National Peer Group	1	2
e. Other_____	1	2

19. What evidence of performance should be included in the "academic profile" used as the basis of the post-tenure review? (*circle all that apply*)

    1 Current Curriculum Vita
    2 If applicable, student evaluations of teaching
    3 Evidence from peers
    4 Other_____

20. UH-Mānoa Board of Regents Policy 9-15 states three goals for the periodic review of faculty performance. One of those goals is "to provide for the systematic recognition of excellence and develop incentives for superior performance." As currently practiced, the post-tenure review process identifies faculty who are meeting, or failing to meet, minimum expectations. It does not recognize excellence. Should it also include such as assessment? (*circle one*)

    1 Yes
    2 No
    3 Not sure

21. If yes, does your department currently have criteria for measuring excellence? (circle one)

    1 Yes
    2 No

22. If your department does <u>not</u> have criteria for measuring excellence, do you think your department would be willing to develop such criteria? (*circle one*)

    1 Yes
    2 No

23. The UH-Mānoa post-tenure review procedures state that "...failure to meet established expectations constitutes the basis for appropriate action." In your opinion, once deficiencies have been identified and the faculty member agrees to a Professional Development Plan (PDP) with expectations and time lines, what should constitute "appropriate action" if the faculty member fails to meet the objectives of the PDP?

_____

_____

_____

24. Based on your direct experience with post-tenure review, have any of the following benefits been associated with the post-tenure review process within your department/academic unit?	Too little experience/too soon to know	No benefit	Minor benefit	Major benefit
a. Stimulates greater efforts in teaching		1	2	3	4
b. Stimulates greater efforts in research		1	2	3	4
c. Stimulates greater efforts in professional service and outreach.		1	2	3	4
d. Stimulates greater efforts in university citizenship		1	2	3	4
e. Increases faculty accountability		1	2	3	4
f. Helps sustain senior faculty vitality.		1	2	3	4
g. Increases opportunities for mid and late career transition planning.		1	2	3	4
h. Establishes a culture and expectation for continuous growth and development		1	2	3	4
i. Provides opportunities for additional support for new professional directions		1	2	3	4
j. Facilitates exchange of information which leads to professional collaboration		1	2	3	4
k. Encourages departments to consider different workloads for members		1	2	3	4
l. Allows for comparison of standards for judging work across unit lines.		1	2	3	4
m. Improves collegiality		1	2	3	4
n. Links departmental planning objectives with personal professional plans		1	2	3	4
o. Focuses attention on improvement of annual review procedures		1	2	3	4
p. Increases public confidence in higher education		1	2	3	4
q. Forestalls further external interference		1	2	3	4
r. Acts as a safeguard to tenure		1	2	3	4
s. Other *(please specify)*					

_____

_____

25. Based on your direct experience with post-tenure review, have any of the following problems been associated with the implementation of post-tenure review within your department/academic unit?	Too little experience/too soon to know	No problem	Minor problem	Major problem
a. Invasion of professional autonomy.		1	2	3	4
b. Erosion of confidence in tenure		1	2	3	4
c. Excessive paperwork		1	2	3	4
d. Excessive time		1	2	3	4
e. Erosion of collegiality		1	2	3	4
f. Negative effect on risk taking and scholarly pursuit of controversial areas of inquiry (academic freedom)		1	2	3	4
g. Unevenness in application of criteria and standards within unit and/or across units		1	2	3	4
h. Unreasonable demands placed on university to support faculty improvement plans		1	2	3	4
i. No positive change in performance of individuals over the long term.		1	2	3	4
j. Insufficient funds to support self-initiated faculty development plans		1	2	3	4
k. Insufficient funds to support required faculty development plans		1	2	3	4
l. Insufficient training for peers		1	2	3	4
m. Insufficient training for chairs/department heads		1	2	3	4
n. Erosion of faculty professionalism.		1	2	3	4
o. Hampers faculty recruitment efforts		1	2	3	4
p. Prompts effective senior faculty to feel devalued		1	2	3	4
q. Other *(please specify)*					

_____

_____

26. To what extent has post-tenure review affected ***pre-tenure*** review practices within your department/academic unit? *(circle one)*

1 It has *increased* the rigor of **pre-tenure** review practices
2 It has prompted the department to reexamine its policies and procedures for **pre-tenure** review
3 It has *diminished* the rigor of **pre-tenure** review practices
4 It has *not* affected the rigor of **pre-tenure** review practices
5 Uncertain about the effect of post-tenure review on **pre-tenure** review practices
6 Too soon to assess
7 Other *(please elaborate)*_____

_____

27. To what extent has post-tenure review affected the ***tenure*** review practices within your department/ academic unit? *(circle one)*

1 It has *increased* the rigor of **tenure** review practices
2 It has prompted the department to reexamine its policies and procedures for **tenure** review
3 It has *diminished* the rigor of **tenure** review practices
4 It has *not* affected the rigor of **tenure** review practices
5 Uncertain about the effect of post-tenure review on **tenure** review practices
6 Too soon to assess
7 Other (*please elaborate*)_____

_____

28. Based on your direct experience with post-tenure review, do you think that post-tenure review is worth the time and effort required? (circle one)

1 Yes, definitely
2 Yes, on balance—the benefits outweigh the costs
3 No, the costs outweigh any benefits
4 Not really sure—too soon to assess
5 Other *(please elaborate)*_____

_____

29. Do you think there are improvements that could be made to your institution's procedures that would make the post-tenure review process more beneficial, effective, and/or constructive? (circle one)

1 Yes
2 No
3 Uncertain

If yes, please suggest *one or more* major improvement _____

_____

_____

30. Is there anything else about the impact and outcomes associated with the post-tenure review process that you would like to share with us? (Please feel free to attach an extra page if you have extended comments.)

_____

_____

_____

Background Information

We ask for the following demographic information so that we can determine if specific groups of respondents have unique experiences and/or ideas about post-tenure review. Data will be reported in aggregated form. In no instance will tabulated results be broken down in such a way that might lead to the identification of a particular respondent.

Please circle the response that applies to you.

A. What is your gender?

Female 1
Male 2

B. What is your age?

Less than 30 years 1
31–45 years 2
46-59 years 3
60 years or older 4

C. What is your current rank?

Professor 1
Associate Professor 2
Assistant Professor 3
Instructor 4
No rank 5
Other _____ 6

D. If you hold rank, how many years have you held your current rank?

_____ years

E. Are you tenured at your institution?

Yes 1
No 2

If yes, how long have you held tenure?

_____ years

F. How many years have you been employed at your current institution?

_____ years

G. What is your College / School / Institute?

_____
_____
_____

H. Do you currently hold any of the following positions?

Chairperson 1
Dean/Director 2
Associate/Assistant Dean 3
Other _____ 4

If yes, how many years have you held this position?

_____ years

Please return this survey in the enclosed envelope by Tuesday, November 23, 1999.

To: Dr. Christine Licata
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Washington, DC 20077-5750

UHM